



OFFICE OF
MANAGEMENT AND BUDGET

FY 2010 Report to Congress on the Implementation of The E-Government Act of 2002

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Introduction

This is the Office of Management and Budget's (OMB) eighth annual progress report on implementation of the E-Government Act of 2002 (Pub. L. No. 107-347; Dec. 17, 2002) (the "E-Government Act") as required by 44 USC 3606. This report describes activities completed in fiscal year 2010 (FY10). This report has seven sections highlighting Government-wide initiatives that are specifically required to be included in the report by the E-Government Act: Section I describes the use of the E-Government Fund, established by Section 3604 of the E-Government Act. Section II is a Government Accountability Office (GAO) requirement that addresses accuracy of data, but also complies with the E-Government Act's requirement to make government information accessible. Section III describes activities the government has implemented that improve the skills of the Federal workforce. Section IV describes how IT is used in disaster management. Section V describes the use of standards and collaboration for geographic information within the Federal Government. Section VI features select E-Government Information Technology (IT) accomplishments related to innovation and the Open Government Initiative in 2010. Section VII outlines Federal Government efforts to implement E-Government Act provisions and goals. All reports on the implementation of the E-Government Act, from FY 2003 through the present, are posted on the Office of Management and Budget (OMB) website (<http://www.whitehouse.gov/omb/>).

The use of Information Technology (IT) to provide consistent access to and dissemination of government information promotes a more citizen-centered government in a cost-effective manner. Agencies manage web-based technologies and services to help citizens obtain government information and services. In addition, agencies use IT to communicate with the public and gather feedback to determine whether Federal programs are achieving results and meeting user needs. E-Government is the result of the use of IT to improve citizen access to government information and services.

Although the Federal Government spends tens of billions of dollars annually on IT, the levels of IT-related gains in service, quality, and delivery experienced in the private sector has not been realized in the government due to fragmentation, poor project execution, and the drag of legacy technology. To ensure Federal agencies apply E-Government principles and IT to the fullest potential, program results are measured to verify progress and planned performance improvement. By doing this, agencies are able to better manage their information resources and IT investments more effectively. The Office of Management and Budget (OMB) works with agencies to systematically track and measure whether resources used by programs help achieve intended goals and results.

This report describes Federal IT activities related to Open Government, innovations in IT, and the E-Government Act of 2002. The Federal Government is committed to building on these efforts to leverage the power of technology to better manage IT resources.

Section I: E-Government Fund

The E-Government Fund: Enabling Transparent, Participatory, and Collaborative Government

In 2002, Congress passed the E-Government Act, a law aimed at improving the management and promotion of the Federal Government's use of technology to provide services to citizens and to increase internal efficiency. One of the most important provisions outlined in the E-Government Act was the establishment of an E-Government Fund (E-Gov Fund) that would provide financial support to the innovative use of technology in the Federal Government. Projects supported by the E-Gov Fund must serve one of three purposes:

- Make Federal Government information and services more readily available to members of the public
- Make it easier for the public to apply for benefits, receive services, pursue business opportunities, submit information, and otherwise conduct transactions with the Federal Government
- Enable Federal agencies to take advantage of Information Technology (IT) in sharing information and conducting transactions with each other and with state and local governments

In December 2009, the General Services Administration (GSA), in consultation with Office of Management and Budget (OMB) and the Federal Chief Information Officer (CIO) Council, submitted to the Committee plans for the use of the FY10 E-Government Funds. In July 2010 an update with adjustments to the allocations was provided. The projects and levels of funding submitted in the notification are shown below with the adjustments that are the intended allocations. The adjusted allocations are as follows:

	<u>Original Allocation</u>	<u>Current Allocation</u>
1. Improving Innovation, Efficiency and Effectiveness of Federal IT	\$11M	\$10M
2. Citizens Engagement and Access / Web 2.0	\$5M	\$5M
3. Federal Funding and Accountability Act (FFATA) Implementation	\$8M	\$9.5M
4. Efficient Federal Workforce	\$7M	\$5M
5. Accessible and Transparent Government Information / <i>Data.Gov</i>	\$3M	\$3M
6. E-Gov Project Management Best Practices	<u>\$0</u>	<u>\$1.5M</u>
Total	\$34M	\$34M

GSA also notified Congress the use of \$340,591 in unobligated balances from FY08 funds for FFATA Implementation. The details of the initiatives funded by the FY10 E-Government Fund are as follows:

1. Improving Innovation, Efficiency, and Effectiveness and Federal IT

The innovations platform is developing cloud infrastructure services that could be used to build tools that promote innovation, transparency, Open Government, citizen engagement, and security. Innovative capabilities will be included in this approach, such as Infrastructure as a Service (IaaS), Software as a Service (SaaS) and Platform as a Service (PaaS). Additionally, new approaches to security testing are being developed to provide thorough centralized security testing that all agencies can use. The program is progressing and this phase can be implemented with less funding than originally planned. This investment program includes: Payment Accuracy Dashboard, *USA.gov* Redesign, *Apps.gov*, Federal Cloud Computing Initiative, FedRAMP, and the Federal Data Center Consolidation Initiative. Highlights of FY10 accomplishments include launching the Payment Accuracy Dashboard that will aid in reducing

fraud and waste, as well as the redesign of *USA.gov* to feature new technology access. That site has had 50M visits in FY10, a 25 percent increase over 2009.

Public use of mobile device applications is increasing rapidly to make services available when and where needed. Based on a user's location, mobile devices with these platforms enable users to identify information that is relevant to them; for example, the closest hospital in the event of an emergency. The innovative solutions included mobile access solutions that provide the public with Government-related mobile solutions. It will allow simpler access to services and information and provide new opportunities for citizen engagement. For example, the public will have the ability to provide instant feedback on experiences and receive information on particular subjects, such as product recalls. *Recalls.Gov* was developed for use on the iPhone and Android phones to make information available to the public when they need it most - while shopping. The initiative will also maintain an inventory and categorize existing and ongoing mobile application development and execution across major Federal departments and agencies. Simplifying access to government services can significantly improve citizens' experiences with the government.

Apps.gov was enhanced with links to the *USA.gov* Mobile Apps page. It will also develop a Mobile Platform & Repository and an Open Source Application Programming Interface to be used by Federal agencies to promote widespread public use. Additional mobile applications have launched (e.g., using mobile phones to access product recall information by scanning a product bar code).

FY10 E-Gov Funds: \$10,000,000
Prior Year Funds Reallocated in FY10: \$0
Total Funds Available for FY10: \$10,000,000
Total Obligated in FY10: \$8,980,520
Unobligated Balance as of 9/30/10: \$1,019,480¹

2. Citizen Engagement and Access / Web 2.0

Public participation enhances the government's effectiveness by improving the quality of its decisions through collaboration. Innovative tools can be used to create unprecedented openness in the Federal Government through increased citizen participation and make this type of collaboration a reality. This program includes: Citizen Services Dashboard, Open Government Dialogue Platform, *Challenge.gov*, and the Citizen Engagement Platform. A few highlights of FY10 accomplishments include launching the Open Government Dialogue platform and *Challenge.gov*. More than 35 unique challenges debuted on *Challenge.gov*. The National Aeronautics and Space Administration (NASA) found ideas on how to predict the adverse effects of solar flares on astronauts and space craft from a retired radio frequency engineer who responded to a \$30,000 challenge.

FY10 E-Gov Funds: \$5,000,000
Prior Year Funds Reallocated in FY10: \$ 0
Total Funds Available for FY10: \$5,000,000
Total Obligated in FY10: \$4,397,410
Unobligated Balance as of 9/30/10: \$602,590²

¹ Unobligated balance was valid End of Year and additional obligations have already occurred for this project (An additional \$528,209 was obligated in the first quarter of FY11).

² Unobligated balance was valid End of Year and additional obligations have already occurred for this project (An additional \$58,479 was obligated in the first quarter of FY11).

3. Federal Funding and Accountability Act (FFATA) Implementation

The *USAspending.gov* website houses an immense amount of data and was significantly enhanced this spring. *USAspending.gov* is a public website that provides easy access to the obligations and payments of Government funds through contracts, grants, loans and other mechanisms. This information can be searched and sorted by recipient, location, and other parameters. As planned additional capabilities were added to collect and display sub-contracting information and sub-award information concerning contracts and grants. This provides significantly greater transparency on which firms and localities are actually the recipients of Federal funds. Progress was also made with *Performance.gov* and the IT Dashboard. *Performance.gov* provides a single transparent website to access key agency performance indicators. The IT Dashboard was enhanced and displays data received from agency IT budget submissions through the Exhibit 53 and 300 reports, including general information on around 7,000 Federal IT investments and approximately 800 investments classified as major by the agencies.

Unobligated balances were re-allocated from the following projects: (1) E-Gov Standards and Cyber Trust: \$306,977; (2) Returned for re-use from National Institute of Standards and Technology (NIST): \$33,111; and (3) Improving Access and Information for Citizens: \$503.

FY10 E-Gov Funds: \$9,500,000
Prior Year Funds Reallocated in FY10: \$ 340,591
Total Funds Available for FY10: \$9,840,591
Total Obligated in FY10: \$6,580,597
Unobligated Balance as of 9/30/10: \$3,259,994³

4. Efficient Federal Workforce / FedSpace

Through *FedSpace.gov*, the Efficient Federal Workforce program will provide online networking for Federal staff and knowledge management to support government programs. Online networking provides a limitless resource for brainstorming, collaboration, and knowledge mining. Networking tools will assist Federal agencies in the capture of information and knowledge management will enable the analysis, interpretation, and application of that information. *FedSpace.gov* will also provide a space for collaboration among communities of practice. The establishment of an easily-accessible common library for resource materials will support collaboration among employees across the Federal Government. The program is progressing well and is operating in Alpha-mode at *Fedspace.gov*.

FY10 E-Gov Funds: \$5,000,000
Prior Year Funds Reallocated in FY10: \$ 0
Total Funds Available for FY10: \$5,000,000
Total Obligated in FY10: \$4,917,378
Unobligated Balance as of 9/30/10: \$ 82,622⁴

5. Accessible and Transparent Government Information / Data.Gov

Significant progress was also made with *Data.gov*, a single platform that provides high value, machine readable datasets generated by the Federal Government. This year saw expansion of capabilities and data sets. Geospatial datasets were added with the capability to view a sample without downloading the full dataset, which may be very large. Innovative capabilities were added including the semantic web (linked open data) that make data readily available for use in combination with other data sources. The

³ Unobligated balance was valid End of Year and additional obligations have already occurred for this project (An additional \$3,259,994 was obligated in the first quarter of FY11).

⁴ Unobligated balance was valid End of Year and additional obligations have already occurred for this project (An additional \$81,723 was obligated in the first quarter of FY11).

number of datasets has surpassed 300,000, demonstrating a significant commitment to transparency. A dataset hosting and download service has been added to permit agencies to expose large datasets that otherwise would overload the agency systems if made accessible to the public. Public participation has been high with steady use by approximately 160,000 visitors per month, and over 1,000 specific datasets requested by the public to be added. Through GSA and other sponsored forums, over 250 applications have been developed using Government data. Transparent metrics were added for public access. Other countries, local, and state governments have followed the lead of the U.S. and launched their own open government data sites, setting a standard of transparency for democracies.

FY10 E-Gov Funds: \$3,000,000
Prior Year Funds Reallocated in FY10: \$0
Total Funds Available for FY10: \$3,000,000
Total Obligated in FY10: \$1,853,938
Unobligated Balance as of 9/30/10: \$1,146,062⁵

6. E-Gov Development Best Practices Project

Information technology (IT) has transformed how the private sector operates and revolutionized the efficiency, convenience, and effectiveness with which it serves its customers. The Government has not taken full advantage of this transformation. The E-Gov Development Best Practices Project is researching the causes behind the Government's historical inability to leverage new, innovative technologies as successfully as leading commercial firms.

A concentrated focus on the root causes of problems that impact Federal IT projects will aid in strengthening existing policies and procedures, focusing on some aspects such as IT procurement process barriers. The areas of focus will include the management of large scale IT systems, aligning the procurement process and IT cycles, approaches to budgeting for new technology and overall governance of IT development and management.

FY10 E-Gov Funds: \$1,500,000
Prior Year Funds Reallocated in FY10: \$ 0
Total Funds Available for FY10: \$1,500,000
Total Obligated in FY10: \$755,743
Unobligated Balance as of 9/30/10: \$744,257⁶

⁵ Unobligated balance was valid End of Year and additional obligations have already occurred for this project (An additional \$336,381 was obligated in the first quarter of FY11).

⁶ Unobligated balance was valid End of Year and additional obligations have already occurred for this project (An additional \$215,927 was obligated in the first quarter of FY11).

Section II: IT Dashboard

In July 2010, the U.S. Government Accountability Office (GAO) released its initial report (GAO-10-701) on the IT Dashboard, entitled *OMB's Dashboard Has Increased Transparency and Oversight, but Improvements Needed*. The report resulted in two recommendations; both were accepted by the Office of Management and Budget (OMB). This section addresses the first of those two recommendations, "...to include in its next annual Implementation of the E-Government Act report the effect of planned formula changes on the accuracy of data."

With the launch of the beta release of the IT Dashboard in June 2009, OMB decided to fundamentally change the way OMB exercises its IT investment oversight function. Under the new model, data would be dynamic, readily available, updated monthly, and easily consumable by the public. The public could now serve as a new partner in overseeing the Federal Government's \$77.6B FY10 investment in information technology.

OMB launched the IT Dashboard as a beta product, well aware of the challenges posed by the quality and consistency of the data and the mechanisms used to collect it. One major challenge was the cost and schedule data historically provided through agency Exhibit 300 submissions. Until the arrival of the IT Dashboard, the data provided in the milestones table of the Exhibit 300 was treated as a once-per-year snapshot of project activities. Also, the data format lacked certain elements required to produce adequate calculations variance. With the June 2009 launch, now that data was to be used to draw monthly assessments of the performance of approximately 800 major investments across 27 agencies.

As the IT Dashboard emerged from the beta version in July 2010, new cost and schedule calculations were implemented to score major IT investments. Today, cost rating is calculated as the variance between the actual costs of an investment's activities and their planned costs to date in dollars as a percentage of total costs.

These new calculations have been in place for only a few months at this point, so analysis of improvements is still preliminary. However, early results show improvements in the following areas:

- Improved timeliness of cost and schedule reporting
- Improved reporting of in-progress work
- Improved precision of scoring

One major area of improvement with the new IT Dashboard calculation is the ability to take into account ongoing activities that have not yet been completed. By using percent complete data provided by the agencies, and taking into account planned and actual start dates, the IT Dashboard can now track progress within an ongoing activity without having to wait until an actual completion date is provided for cost calculations or actual or planned completion dates for schedule. This gives users more point-in-time visibility into project performance, and managers an earlier warning for projects going off track.

The availability of start dates and percent complete data also enables improved visibility into the work as it is being performed. By taking advantage of actual versus planned percent complete data the new calculation can extrapolate actual and planned work from the provided start dates, giving a fuller picture of variations that may exist at any point in an activity. This is of particular value with investments with very few and very long activities, where previous calculations lacked sufficient data to draw conclusions or to conduct analysis. For example, numerous Department of Defense (DOD) activities span multiple years, meaning that variance would not have been able to be calculated until the end of the activity, sometimes several years out. By using start dates and percent completes in the new calculations, users

can now see up-to-date progress against any activity underway, regardless of how long it lasts and how far in the future it will be completed.

Finally, another positive development resulting from the new calculations is significantly higher granularity in the scores produced. In the original calculations, ratings were limited to integer values of 0 through 10 for cost and 0, 5, and 10 for schedule. As a result, scores would only move with very significant changes in the underlying calculations, particularly the schedule score, with only one of three values available. The calculation introduced in July 2010 allows for both cost and schedule scores to be any value between 0 and 10 up to two decimal places. This new calculation enables more granular measurements, including the ability for scores to change daily. This provides users with a more granular view of how projects are performing and possible earlier detection of trends in variance. In the future, OMB will continue to evaluate the current calculations and their impact on the ratings of each investment.

Section III: IT Workforce

The E-Government Act requires improvement of the skills utilized by the IT workforce in using information technology to deliver Government information and services. The Chief Information Officer (CIO) Council's IT Workforce Committee, with over 30 volunteer member agencies, is in the forefront of this on-going effort to recruit, develop, and retain a workforce that has modern skills needed to successfully accomplish the goals of the Federal CIO Council in the following priority areas:

- Improvements to Federal structural and organizational infrastructure
- Compliance with the Open Government Directive
- Improvements in cyber security and privacy protection
- Increase in the efficiency and effectiveness of government operations

To help achieve those goals, the IT Workforce Committee supports and facilitates programs and initiatives. Committee members serve on interagency workgroups and initiatives to improve skills and close gaps in the IT workforce. In 2010, this was done through initiatives such as:

- *Publishing of "The Net Generation Guide: Preparing for Change in the Federal Information Technology Workforce"*: This effort was led by the Department of Defense (DOD), and the guide was published in April 2010. It examines the current state of the Federal IT workforce, general U.S. IT labor force demographics, and the potential role of the youngest generation (the "Net Generation") in joining and sustaining the Federal IT community. It highlights current thought and practices regarding initiating, engaging, and sustaining relationships with the "Net Generation," and will assist Federal agencies in their Hiring Reform efforts.
- *Addition of the National Defense University to the CIO University, managed by the General Services Administration (GSA)*: This unique program, partnering with seven universities (Syracuse, George Mason, George Washington, Carnegie Mellon, LaSalle, University of Maryland-College Park and the newly joined National Defense University), has transformed the updated Clinger-Cohen required competencies into specific curricula targeted at current and future government IT executives. In 2010, 165 students graduated from the program and 1,455 people have graduated over the ten-year life of the program. The recent addition of the National Defense University is expected to double the graduating class size in future.
- *CIO Council "Excellence in Government" Fellows program*: Partnering with the Partnership for Public Service, the CIO Council recently launched the first cohort of this program. The Fellows will receive leadership development training and will manage CIO Council projects, enabling the Council to move its initiatives forward while the Fellows build strategic partnerships across agencies that will serve them well in future.
- *OPM 2010 Cyber Security Job Analysis Survey*: IT Workforce Committee members, in conjunction with the National Initiative for Cybersecurity Education, worked with the Office of Personnel Management (OPM) to develop and validate cybersecurity competencies and tasks. OPM is currently conducting a Government-wide survey based on the results of this work.
- *IT Workforce Capability Assessment*: Managed by the CIO Council's IT Workforce Committee, this effort is preparing to launch in January 2011. This Government-wide IT workforce survey is designed to identify the current tasks, activities, and skills of all IT professionals, and capture their current level of expertise through a self-assessment by the individual. Agencies will use this information to identify skill gaps in their organizations and target their human capital plans to close those gaps. The list of skills, tasks, and activities is now being updated to ensure current competencies and needs are addressed.

Section IV: Disaster Preparedness

The Office of Management and Budget (OMB) in consultation with the Federal Emergency Management Agency (FEMA) is required to report to Congress on activities that further the goal of maximizing IT use in disaster management. Three of the E-Government initiatives that are managed by the Department of Homeland Security (DHS) support disaster preparedness, response and recovery: Disaster Assistance Improvement Program (DAIP), SAFECOM, and Disaster Management. Each initiative uses IT in a different way when coordinating and facilitating information. Below is a brief description of IT use in each initiative.

Disaster Assistance Improvement Program

Information Technology plays an integral role in the delivery of information on disaster preparedness, response, and recovery through *DisasterAssistance.gov*. Information on almost 70 distinct forms of assistance (FOAs) from 14 different Federal partners is housed online within a database that is maintained by *Benefits.gov*. This FOA information is delivered through the *Benefits.gov* content management system (CMS) to disaster survivors using both search functionality and questionnaire responses within the *DisasterAssistance.gov* web portal. A separate, free-standing application, known as the Questionnaire Planned Product Improvement (Q-PPI), was developed and deployed subsequent to the initial launch of *DisasterAssistance.gov* and provides a scalable capability to meet surge requirements. The Q-PPI makes this same FOA information easily accessible to Federal Emergency Management Agency (FEMA) call center representatives within the FEMA environment. As a result, call center representatives do not need to navigate away from their registration intake transcription to *Benefits.gov* servers when querying the FOAs for a disaster survivor they are assisting on the phone.

When the Gulf Coast oil spill occurred in the spring of 2010, *DisasterAssistance.gov* was identified as the best place to provide information to the thousands of Americans who were affected by this distinctive, non-natural disaster. These content pages contained links to information on the disaster; Federal, state, and local forms of assistance for citizens affected by the disaster; and access to the BP registration processes (and subsequently third-party independently monitored registration processes) for making a claim to receive assistance. DAIP responded to the unique needs of this situation in a matter of days, quickly providing access to vital information required by the victims of the Gulf Coast oil spill disaster. It also directed citizens impacted by the Gulf Coast oil spill to the deepwater oil spill application process and away from the DAIP registration intake process. *DisasterAssistance.gov* also includes information in Spanish and Vietnamese, thus providing important information to some Limited English Proficient (LEP) communities impacted by the oil spill. Websites such as this that provide information to the general public on accessing disaster benefits and services will continue to be modified and expanded to increase access for these and other LEP populations.

DisasterAssistance.gov launched mobile registration intake capabilities in the spring of 2010. Initial efforts focused on optimizing the registration intake process and all of the registration intake pages so that they render well on three major mobile platforms to optimize the user. The capability has been well received and applications have been entered by survivors using smart phones. Subsequent releases will also focus on optimizing the portal's content areas for mobile device display.

SAFECOM

SAFECOM is an emergency communications program of the U.S. Department of Homeland Security's Office of Emergency Communications (OEC) and Office for Interoperability and Compatibility (OIC). Through collaboration with emergency responders and policymakers across all levels of government,

SAFECOM works to improve multi-jurisdictional and intergovernmental communications interoperability. The SAFECOM Executive Committee (EC) and SAFECOM Emergency Response Council (ERC) work with existing Federal communications programs and key emergency response stakeholders to address the need to develop better technologies and processes for the multi-jurisdictional and cross-disciplinary coordination of existing communications systems and future networks.

The SAFECOM website (<http://www.safecomprogram.gov>) provides members of the emergency response community and other constituents with information and resources to help them plan for effective interoperable emergency communications for disaster preparedness, response, and recovery. It offers comprehensive information on topics relevant to emergency response communications and features best practices that have evolved from real-world situations.

Disaster Management

The E-Government Act of 2002 mandates that the Government pursue opportunities to leverage Information Technology (IT) in a cost effective way to enable the Federal Enterprise to be more citizen-centered and market-driven. The Disaster Management (DM) program is dedicated to leveraging innovative IT solutions to modernize and web-enable government services, increasing responsiveness to citizens/business, and enhancing Government-wide efficiency and cost effectiveness. The DM program's mission within FEMA is to improve accessibility and availability of timely, accurate disaster-related information to the public, to those affected by disaster, to first responders, emergency managers, and others. The program is essential to the overall FEMA mission to enable first responders to communicate and collaborate with their local resources while providing the capability to coordinate upward and outward with supporting resources. The services of the DM program are designed to minimize loss of life and property by enabling emergency response personnel to broadly share real-time situational awareness info. It will provide a non-proprietary operational infrastructure that acts to level the playing field allowing disparate third-party applications, systems, networks, and devices to share information in an open-based standards format. Program activities will enhance public awareness by providing a unified point of access to disaster preparedness, emergency response, and recovery information for the general public and members of the emergency management community at the local, regional, tribal, state and Federal levels. Portal Integration will allow for more accurate, timely information availability to all stakeholders. The integration of the website with FEMA Call Centers will provide a greater degree of self-service and provide answers to Frequently Asked Questions (FAQs). All program activities work to ensure ease of access to services, as well as assist those seeking services the ability to obtain support more quickly and effectively.

DM is comprised of several elements including: (1) Disaster Management Interoperability Services (DMIS) incident management tools, (2) the DM-Open Platform for Emergency Networks (OPEN) interoperability backbone, (3) Support for Emergency Data Exchange Language Standards development and adoption, and (4) the *DisasterAssistance.gov* website. The DM Initiative also provides for FEMA portal consolidation and disaster assistance knowledgebase and call center/website integration, thereby streamlining and improving availability of consistent and timely disaster-related information to citizens. The DMIS tools provide government and non-governmental organizations involved in emergency management the ability to collaborate and manage incidents using information technology systems. DM-OPEN provides interoperable data messaging and alerting, and facilitates the ability to securely exchange disaster information. The DM Standards Initiative facilitates the development and adoption of emergency data exchange language standards for incident management enabling the emergency response community to seamlessly and securely share data across disparate information systems. Through the Disaster Assistance website, DM provides a unified point of access to disaster-related information and services for citizens and emergency organizations. FEMA assumed ownership of the DM Program in FY08 and is

aligning it with the Disaster Assistance Improvement Program (DAIP) and the National Response Framework (NRF), with the goal to substantially improve user-focused disaster management resources.

Systems Development consists of DMIS incident management tools, which provide government and non-government organizations involved in emergency management the ability to collaborate and manage incidents using IT systems. The OPEN interoperability backbone provides interoperable data messaging and alerting, and facilitates the ability to securely exchange disaster information. New enhanced versions of these systems are currently under development. The Emergency Messaging Standards Development facilitates the development and adoption of emergency data exchange language standards for incident management enabling the emergency response community to seamlessly and securely share data across disparate information systems. The Emergency Notification System consolidates multiple smaller stove-piped notification and alert systems, and results in a single resilient program to provide cost-effective capability to provide notifications and alerts as an Enterprise level service to all DHS. DM is implementing a disaster assistance knowledgebase as part of a call center/website integration effort, which will streamline and improve the availability of consistent, timely disaster-related information to citizens. The DM Initiative also leads and supports efforts within FEMA to consolidate portals and other public facing web properties in an effort to improve access to disaster related information for all stakeholders.

The Disaster Management Program has been working over the past year to develop enhanced versions of DMIS and OPEN, which are referred to as DM Framework and DM-OPEN, respectively. DM Framework is transitioning the existing functionality of DMIS to a web-based system. This system provides enhanced collaborative and interoperability features, as well as the ability to integrate additional tools into a single interface. DM-OPEN will provide support for new and emerging emergency management messaging standards and support the transmission of NIEM-compliant data. The Disaster Management Program has been working closely with the Integrated Public Alert and Warning System Program and once the new systems are at full operating capability they will serve as a critical component of the Integrated Public Alerts and Warning System (IPAWS). IPAWS is the Nation's next-generation infrastructure of alert and warning networks expanding upon the traditional audio-only radio and television Emergency Alert System (EAS) by providing one message over more media to more people before, during, and after a disaster. The IPAWS Program is presently working to implement interfaces with DM-OPEN to allow for the aggregation of alerts and warnings from state, local and tribal officials, and emergency managers. Additionally DM-OPEN will act as a dissemination mechanism for national level alerts from the President. DM Framework will provide authoring capability for alerts and warning at the state, local, tribal, and Federal levels. As of September 2010, ownership of both the DM-Framework and DM-OPEN 2.0 has been transitioned to the FEMA National Continuity Programs (NCP) IPAWS.

Section V: Geospatial

In an effort to reduce redundant data collection and information, the E-Government Act requires the promotion of collaboration and use of standards for government geographic information. The effective and efficient development, provision, and interoperability of geospatial data and services serve in the best interest of both the Nation overall and the core missions of Federal agencies and their partners. Cross-agency coordination of geospatial activities can identify, consolidate, and reduce or eliminate redundant geospatial investments. Through interagency collaboration, common business, content, and technology requirements are identified to enable the development and implementation of standards that improve data quality and utility, ultimately increasing access to geospatial data.

The Federal Geographic Data Committee (FGDC) has been essential to the development and implementation of effective standards, technologies, and policies to promote the sharing of geospatial data throughout all levels of government, the private and nonprofit sectors, and the academic community.

The FGDC was organized in 1990 under the Office of Management and Budget (OMB) Circular A-16, "Coordination of Geographic Information, and Related Spatial Data Activities." The FGDC Steering Committee serves as an interagency policy group and consists of Senior Agency Officials for Geospatial Information from 32 Federal agencies, including the Executive Office of the President, Cabinet level and independent Federal agencies. The Steering Committee is supported by the Coordination Group which is made up of Federal agency geospatial program leads and advises on the day-to-day business of the FGDC. The 2002 revision of OMB Circular A-16 assigns the Deputy Director for Management of OMB as Vice-Chair of the FGDC. In 2008, the National Geospatial Advisory Committee (NGAC) was established under the Federal Advisory Committee Act to provide advice and recommendations to the FGDC on national geospatial policy issues. The NGAC consists of geospatial industry leaders and representatives from Federal, state, local, and tribal governments, academia, professional organizations, and the private sector, and actively provides valued input to the Federal community. The following are activities and accomplishments in FY10:

Geospatial Standards Development

The FGDC community, through the FGDC Standards Working Group (SWG), applied significant effort towards the development and endorsement of numerous geospatial standards. The SWG utilizes two approaches to identify, evaluate, and develop, or endorse relevant standards.

Working with the sponsoring agency or group, the SWG fosters standards through their nationally and internationally recognized 12-step development process. Since the FGDC is part of the larger geospatial standards development community, the FGDC standards process was developed to be similar and compatible with the procedures in other standards developing organizations, such as the National Institute of Standards and Technology (NIST), International Organization for Standardization (ISO), the American National Standards Institute (ANSI), and the International Committee for Information Technology Standards (INCITS). The FGDC participates in the standards development activities of these organizations and actively promotes elevation of selected Federal (FGDC-endorsed) standards to the National (ANSI/INCITS) and International (ISO) levels.

For E-Government processes, the Office of Management and Budget and the General Services Administration (GSA) policy mandates the use of validated E-Government standards for the acquisition and deployment of E-Government services. In 2007, NIST determined that because the FGDC standards already undergo an extensive public/private sector review process, NIST has decided to declare the FGDC standards as already validated by the FGDC process without having them go through an additional NIST evaluation panel process.

The FGDC SWG fostered the development of key FGDC geospatial standards this year, including:

- Cultural Resources Spatial Data Standard
- Coastal and Marine Ecological Classification Standard
- Shoreline Data Content Standard
- Federal Trails Data Standard
- Federal Buildings and Facilities Geospatial Data Content Standards
- National Wetland Classification Standard
- United States Thoroughfare, Landmark, and Postal Address Data Standard

Work also continued on the ISO Metadata standard and its related North American Profile and Feature Cataloging components, an internationally recognized standard that was based on a published FGDC standard.

Geospatial Standards Endorsement

The FGDC Steering committee established the “*FGDC Policy on Recognition of Non-Federally Authored Geographic Information Standards and Specifications*” (2005) to enable the FGDC SWG to evaluate and recommend for endorsement by the Steering Committee standards not developed from the FGDC process. Since historically the FGDC has focused on data content standards and not developed technology standards, this policy provides a mechanism for the FGDC to evaluate the applicability and validity of non-FGDC fostered standards for implementation in the Federal geospatial community, leveraging the expertise and investment of other standards bodies.

The FGDC exercised this policy to endorse 64 geospatial standards from the Open Geospatial Consortium (OGC), ISO TC211, and ANSI (INCITS L1) standards development organizations to support the important role they play in enabling interoperability as part of the Geospatial Platform, for Geospatial One-Stop, place-based initiatives, and other potential future programs of the FGDC.

Federal Geospatial Standards Bodies Coordination

Within the Federal Government, the two primary standards bodies that develop and/or evaluate geospatial standards are 1) the FGDC and 2) the Department of Defense, Information Technology Standards Committee, Geospatial Intelligence Standards Working Group (GWG). While focused on different operational areas, both entities utilize geospatial standards, many of which overlap both mission areas (i.e., civilian programs and defense/intelligence programs).

The FGDC and the GWG began exploring information exchange and joint development mechanisms to more effectively coordinate their geospatial standards development and review efforts, leverage a broader pool of geospatial expertise, and better align common geospatial standards utilization across the Federal Government. This becomes a key factor as geospatial business requirements between the operational areas continue to draw closer together.

FGDC Subcommittee Established

The FGDC Steering Committee established the National Digital Orthoimagery Program (NDOP) Subcommittee. The NDOP is a coordinating group that focuses on the requirements, management, technology, and standards for high and very high resolution aerial imagery. This effort built upon the success of the NDOP and established it as the Federal data lead for these types of imagery.

In FY10, the FGDC made significant strides forward in developing a Federal geospatial framework, founded on the use of common protocols and standards, and promoting collaboration and use of standards for government geographic information. The components of this framework include: *OMB Circular A-16 Supplemental Guidance*, the Modernization Roadmap for the Geospatial Platform, cloud computing, the Geospatial Segment Architecture Guidance, and the Geospatial Software SmartBUY Government-wide contract.

Endorsement of the OMB Circular A-16 Supplemental Guidance

The FGDC Steering Committee endorsed the “*OMB Circular A-16 Supplemental Guidance*” (*A-16 Supplemental*) document that further defines and clarifies selected elements of OMB Circular A-16. This guidance will facilitate the adoption and implementation of a coordinated and effective Federal geospatial asset management capability to improve support of mission-critical business requirements of the Federal Government and its stakeholders. Aligning to the President’s FY11 budget language, the *A-16 Supplemental* is a first step in moving Federal agencies to a portfolio management approach for geospatial data management, intended to:

- Define the roles and responsibilities of agencies in Federal geospatial data management to ensure accountability, reduce redundancy, and better align investments
- Inventory existing data assets and identify their lead agencies, helping to increase data validity, use, and transparency through metrics
- Facilitate interagency coordination, requirements development, common protocols, and standards development
- Enable more efficient and effective utilization of geospatial data and capabilities to address Federal and national priorities
- Ensure alignment of geospatial data and investments to business requirements

These efforts will help reduce redundant data collection and promote the use of common protocols and standards within the Federal geospatial community.

Development of the Modernization Roadmap for the Geospatial Platform

The FGDC and its partners began developing the Modernization Roadmap for the Geospatial Platform. This initiative is being developed in response to direction in the President’s FY11 budget. The Platform is the next generation of Federal geospatial resource management, building upon the successes of The National Map, Geospatial One-Stop, the Geospatial Line of Business, and numerous other ongoing interagency geospatial activities. Its operations will complement current initiatives such as *Data.gov* and the modernization of Federal IT. The Geospatial Platform fundamentally improves access to and management of geospatial resources through a focus on five key components that support its implementation:

- *Common Data, Services, and Applications*: built with common protocols and standards.
- *Shared Infrastructure*: utilizing standards for IT, communication protocols, and information security.
- *Segment Architecture*: ensuring alignment with and integration into the Federal Enterprise Architecture.
- *Governance*: processes to ensure parties with a stake in the Platform, including state, local and tribal government, can collaborate on its structures, functions and capabilities.
- *Portfolio management*: supporting the prioritization, selection and allocation of resources to maximize the value of investment in geospatial data, services, and applications.

Additionally, the FGDC developed, and OMB approved, the *Modernization Roadmap for the Geospatial Platform (Version 3)*. Key to the success of the Geospatial Platform is the foundational framework of interoperable geospatial data, technologies, and services that rely on continued coordination and collaboration of standards.

Cloud Computing

A number of FGDC member agencies, including the General Services Administration (GSA), the Department of the Interior (Interior), the United States Department of Agriculture (USDA), the National Aeronautics and Space Administration (NASA), the Census Bureau, and others, initiated the process of testing cloud computing for geospatial platform, data, and service hosting. The Census Bureau's Telecommunications Office is creating the Linux64 base operating system (CentOS) in collaboration with the FGDC GeoCloud team. Testing across a scale of service levels and data hosting requirements, these efforts will define standard geospatial service images that can be certified and accredited for use in the cloud, and identify service requirements for recommended protocol suites.

Geospatial Segment Architecture

The FGDC Architecture and Technology Work Group produced initial drafts of the:

- *Federal Geospatial Segment Architecture Guidance*: based on the Federal Enterprise Architecture (FEA) framework and on implementation guidance presented in the Federal Segment Architecture Methodology (FSAM), the goal of this document is to produce Federal geospatial capabilities that are cost-effective and cross-cutting.
- *Federal Geospatial Roadmap and Implementation Guidance*: presents the Federal Government with a common framework and the implementation guidance needed to plan, execute, and extend geospatial programs. It focuses on common standards, deployment approaches which are actionable and measurable, and on aligning the geospatial services segment architecture with the Federal Enterprise Architecture (FEA) reference models through use of the Federal Segment Architecture Methodology (FSAM).

Geospatial Software SmartBUY

The FGDC through the Geospatial Line of Business established a SmartBUY for geospatial software and services. This provides Federal (and state) agencies with a single direct mechanism to purchase geospatial software, leveraging volume discounts, and making software more cost effective for small agencies. In the first nine months of its execution, this SmartBUY returned an estimated cost savings of \$8.2M.

An annual report published by the FGDC identifies additional key accomplishments and planned milestones to coordinate nationally the development, use, sharing, and dissemination of geospatial data. To ensure agencies' initiatives increase access to geospatial information and effectively invest in geospatial resources, the planned milestones coordinate with existing E-Government initiatives, including Geospatial One-Stop and the Geospatial Line of Business.

Section VI: Highlights of Agency Open Government IT Accomplishments

The Open Government Directive embodies the spirit of the E-Government Act by ensuring public trust and establishing a system of transparency, public participation, and collaboration. A core tenet of Open Government is that citizens are equally as capable as the Federal government of suggesting innovative ideas and identifying important priorities. Harnessing citizens' contributions in a way that improves government is challenging. Federal agencies have led the way to develop platforms, policies and training that facilitate more efficient, exciting, and meaningful government interaction with citizens. All Open Government activities are built upon the foundation of making government information more transparent through the release of more raw data easily accessible by citizens. Increased public participation can aid government employees in accomplishing their own work with increased innovation and efficiency and spur innovation. A few highlights of Agency Open Government IT Accomplishments are outlined in this section.

Department of Agriculture

Innovations for Health (Healthy Kids Challenge)

The Apps for Healthy Kids competition, launched on March 10, 2010 challenges software developers, game designers, students, and other innovators to develop fun and engaging software tools and games that drive children to eat better and be more physically active. In mid-November 2009 a series of "crowd sourcing" competitions were launched, the first of which uses a Center for Nutrition Policy and Promotion (CNPP) MyPyramid dataset. This dataset, highlighted on *Data.gov* during its launch in early December 2009, provides information on total calories, calories from "extras" (solid fats, added sugars, and alcohol), and MyPyramid food groups for over 1,000 commonly eaten foods. With these critical components, the Apps for Healthy Kids competition was born.

CNPP administers the "Let's Move!" campaign's Apps for Healthy. The Apps for Healthy Kids is located at: <http://www.appsforhealthykids.com>. The Apps for Healthy Kids competition is part of a larger, three-part initiative composed of Innovations for Healthy Kids, Videos for Healthy Kids, and Recipes for Healthy Kids (working titles). These projects are tentatively scheduled to begin in late 2010 or early 2011, in unison with the consumer launch of the 2010 Dietary Guidelines for Americans. Apps and games must be built around educational messages that emphasize one or more key nutrition concepts from the government's principal sources of nutrition guidance and education (Dietary Guidelines for Americans and MyPyramid).

Department of Commerce

Deepwater Horizon Response Tracking

A new website developed by National Oceanic and Atmospheric Administration (NOAA) with the Environmental Protection Agency (EPA), U.S. Coast Guard, and Department of Interior offers near real-time information about the Deepwater Horizon oil spill response. The GeoPlatform website (<http://www.geoplatform.gov>) is intended to serve as a single resource for data provided by the various agencies working together to tackle the disaster. Originally designed for responders tasked with making operational decisions, it integrates the latest information on the oil spill's trajectory, closed fishery areas, wildlife, and place-based Gulf Coast resources such as pinpointed locations of oiled shoreline and the positions of research ships into an interactive map that can be customized by the user. Public access to the site is intended to facilitate communication and coordination among a variety of users from Federal, state, and local responders to local community leaders and the public and provide fast, user-friendly, and constantly updated information.

Department of Defense

Innovative Use of Collaboration Tools and Approaches

The Apps for the Army contest is among the most interesting and innovative collaboration initiatives. The former initiative gives battle-tested military personnel at every level direct input into the revision of manuals for Army tactics, techniques, and procedures, creating a more effective end product for soldiers. The latter provides all Army personnel the opportunity to demonstrate their software development skills in meeting real-life Army information technology needs.

Also noteworthy are collaboration platforms used to support rescue and relief efforts. For example, after the Haiti earthquake in January 2010, DOD helped coordinate work both inside and outside the Department using the All Partners Access Network (APAN) tool, also known as the Transnational Information Sharing Cooperation (TISC), an innovative solution developed within the Department for use specifically in these sorts of situations. Within a day of the earthquake, the Department was able to quickly activate capabilities enabling the many governments and organizations involved in the extensive rescue and relief effort to rapidly share information and coordinate their efforts.

Department of Education

ED Data Express

ED Data Express (<http://eddataexpress.ed.gov>) was launched in August 2010 to improve the public's ability to access and explore high-value state-level education data collected by the Department. The site is designed to be interactive and to present the data in a clear, easy-to-use manner, with options to download information into Excel or manipulate the data within the website. The site currently includes data from several sources, including *EDFacts*, Consolidated State Performance Reports, State Accountability Workbooks, the National Center for Education Statistics, the National Assessment of Educational Progress, the College Board, and the Department's Budget Service office. The site includes data ranging from graduation rates to basic financial information.

ED Data Express includes three tools that allow users to access and view the data: a State Snapshots page, a Data Element Explorer, and a Build a State Table page. The State Snapshot pages include charts and tables with key data for each state. The Data Element Explorer allows users to view a single element across all states, both graphically and in table form. The Build a State Table page allows users to build customized tables by selecting specific data elements and specific states. The site also contains extensive documentation in the form of footnotes, frequently asked questions (FAQs), and an "about" page to help users understand how to properly interpret the data.

The Department will release version 2.0 of the site early in 2011. Version 2.0 will have a number of enhancements, with a focus on additional ways to visualize the data (such as graphic maps and filtering tools). It will also be designed to interface with social networking applications, such as Facebook and Digg, so the information can easily be shared and discussed.

Department of Health and Human Services

Innovation in Centers for Medicare and Medicaid Services (CMS)

A multi-faceted new transparency push by CMS includes the following achievements in 2010:

- A new interactive "CMS Dashboard," (<http://www.cms.gov/Dashboard/>) which debuted in beta mode on April 6, allows the public to visualize and analyze Medicare spending with unprecedented ease and clarity, starting with inpatient hospital spending.
- The creation of nine Medicare claim "basic files," one for each major category of health care service, to be released from September to December 2010 for free public download on *Data.gov*.

These files will contain a limited number of variables and be re-identified and configured through a rigorous process, in close consultation with privacy experts, re-identification experts, researchers, and key stakeholders, to ensure the protection of beneficiary privacy and confidentiality.

- A significantly improved user interface and analytical tool for viewing existing CMS COMPARE data on quality performance of hospitals, nursing homes, home health agencies, and dialysis centers. This interface and tool debuted at *data.medicare.gov* on April 7, 2010.
- An online publication of detailed Medicaid State Plan documents and amendments on the CMS website by the end of 2010.
- The release of new national, state, regional, and potentially county-level data on Medicare prevalence of disease, quality, costs, and service utilization, never previously published, as part of HHS's Community Health Data Initiative by the end of 2010.

Department of Housing and Urban Development

Published high-value datasets to *data.gov*

- *Public Housing and Multifamily Housing Physical Inspection Scores*: The Department of Housing and Urban Development's (HUD) Real Estate Assessment Center conducts physical inspections of properties that are owned, insured or subsidized by HUD, including public housing and multifamily assisted housing. About 20,000 such inspections are conducted each year to ensure that assisted families have housing that is decent, safe, sanitary and in good repair. The Physical Inspection Scores datasets provide a full historical view of the results of those inspections, providing point-in-time property scores. Results are available for download as a comma-delimited dataset. Separate datasets are available for public housing and for multifamily assisted properties. The results represent the inspections conducted from 2001 through September 2009. The datasets include property identifiers and location information.
- *Fair Housing and Equal Opportunity (FHEO) Filed Cases*: The dataset is a list of all the Title VIII fair housing cases filed by FHEO from January 1, 2006, to the run date including the case number, case name, filing date, state and county of the alleged violation, and the bases for the alleged discriminatory acts. The Federal bases are race, color, national origin, religion, sex, disability, familial status and retaliation for filing a fair housing complaint. A single case may have multiple bases. The data can be aggregated to the county or state level to show patterns in the quantity and bases of fair housing complaints filed.
- *CPD Appropriations*: The datasets are the full-year allocations for HUD's Office of Community Planning and Development (CPD) formula programs: Community Development Block Grants (CDBG); HOME Investment Partnerships (HOME), including the American Dream Downpayment Initiative (ADDI); Housing Opportunities for Persons with AIDS (HOPWA); and Emergency Shelter Grants (ESG). CPD seeks to develop viable communities by promoting integrated approaches that provide decent housing, a suitable living environment, and expand economic opportunities for low and moderate income persons. The primary means towards this end is the development of partnerships among all levels of government and the private sector, including for-profit and non-profit organizations.
- *HUD Geographic Information System (GIS) Boundary Files*: The HUD GIS Boundary Files are intended to supplement boundary files available from the U.S. Census Bureau. The files are for community planners interested in working with census tract and block group data that splits by jurisdiction boundaries (summary levels 080, 090, and 091). The GIS shape files are most helpful when linked with census tract and block group data downloaded from the census standard tabulation data, CDBG low/mod area data (summary level 090), or the Comprehensive Housing Affordability Strategy (CHAS) 2000 data (summary levels 080 and 091).

- *Public Housing Agency (PHA) Inventory*: The dataset contains current data on low rent and Section 8 units in PHA's administered by HUD.
- *Section Eight Management Assessment Program (SEMAP) Performance*: HUD's SEMAP measures the performance of the public housing agencies (PHAs) that administer the Housing Choice Voucher Program. SEMAP uses HUD's national database of tenant information and information from audits conducted annually by independent auditors on the respective PHAs. HUD will annually assign each PHA a rating on 14 indicators and an overall performance rating of high, standard, or troubled. Metropolitan PHAs will also be able to earn bonus points for their achievements in encouraging assisted families to choose housing in low poverty areas.
- *Terminated Multifamily Housing Mortgages*: This dataset includes all terminated HUD Multifamily mortgages except those from the Hospital Mortgage Insurance Program. It includes the Holder and Servicer at the time the mortgage was terminated.

Department of Transportation

Regulation Room

The Department of Transportation's (DOT) flagship Open Government Initiative is the Regulation Room, described in Section 4.1 of the DOT Open Government Plan (<http://www.dot.gov/open/>). Regulation Room is a pilot project in partnership with the Cornell e-Rulemaking Initiative (CeRI) to discover the best ways of using Web 2.0 and social networking technologies to promote rulemaking efforts. This project is the first of its kind anywhere in Federal rulemaking and DOT hopes that it will help identify ways to make it easier for everyone to comment on regulatory topics that impact their lives, such as distracted driving or being bumped from an oversold airline flight. The goal is to increase public understanding of proposed rules and the rulemaking process and encourage more effective public input and collaboration. This initiative supports all the Government-specific goals and several objectives of the Open Government initiative, including:

- Presenting DOT information about programs and objectives in a clear manner
- Maintaining commitment to collecting and responding to public input on DOT policies and programs in innovative ways
- Enhancing collaboration with other Federal agencies, the private sector, and other non-government organizations in providing mission-related services.

Normally, an agency issues its proposed rulemaking in the Federal Register and may take such additional steps as issuing a press release and posting the document on its website. The public then has notice of the proposal and can submit comments on it by uploading a document to *Regulations.gov*, mailing in a letter to the agency, or occasionally by attending a public meeting. The design of this process results in a series of one-way communications. The Regulation Room enhances communications through increased outreach, two-way communication, and collaboration. CeRI will attempt to reach the public where they are, rather than relying on them to come to the Government as the process currently requires. The Regulation Room website will be set up to explain the rulemaking process to members of the public who may be unfamiliar with it and stimulate discussion on the proposed rule through regular blog postings on aspects on which the DOT is seeking input. Regulation Room will openly show comments from everyone who chooses to participate. Commenters will then be able to respond to each other, deepening discussion of the issue and hopefully leading to greater collaboration in reaching a consensus that could be useful for the DOT.

During 2010, DOT piloted the Regulation Room with two rules. While the second rule received significantly more traffic, both rules attracted a majority of first-time commenters, indicating a transformational impact on public engagement in the rulemaking process.

- The Federal Motor Carrier Safety Administration (FMCSA) piloted a rule on distracted driving (Limiting the Use of Wireless Communication Devices). During the 34 days the rule was open, a total of 3,665 unique visitors came to Regulation Room. On average, they viewed 3.8 pages per visit and spent 4.24 minutes on the site. Anyone could read material on the site, but registration was required to participate in the discussion. 54 people registered during the time the rule was open. Based on answers to a survey at registration, 94 percent of those who registered (51 of 54) had never submitted a comment in a Federal rulemaking. One registrant had submitted a comment; the other two answered “unsure.” Of those who registered, 18 people submitted a total of 32 comments.
- DOT Office of the Secretary (OST) piloted a rule on consumer protections (Enhancing Airline Passenger Protections). During the 110 days the rule was open on Regulation Room, a total of 19,320 unique visitors came to the site. There were 24,441 total visits, with people spending an average of 3.17 minutes on the site. Of the issue posts, the average time on the page was longest for Peanut Allergies (4.14 minutes) and shortest for Cost & Benefits (1.55 minutes). The Notice of Proposed Rulemaking was viewed 891 times; the proposed rule text was viewed 212 times. 1,189 people registered during the time the rule was open. Based on answers to a survey at registration, only six percent of those who registered and answered the question (70 of 1,094) said that they had previously submitted a comment in a Federal rulemaking.

Department of State

Tech@State

Tech@State connects technologists to targeted goals of the U.S. diplomacy and development agenda via networking events that combine physical and virtual presence by using Web 2.0 tools. *Tech@State* connects established leaders, new innovators, government personnel, and others to work together on 21st century technology solutions to improve the education, health, and welfare of the world's population. In its first iteration, *Tech@State: Haiti*, participants from the private sector, non-government organizations (NGOs), academia, the Haitian Diaspora, and the public sector met in June 2010 to demonstrate and discuss their innovations in Haiti. The event served as an idea and technology exchange among participants and ignited those attending to collaborate on current and future projects in Haiti and in other nations.

The second iteration, *Tech@State: Mobile Money*, brought in experts, practitioners and technologists in mobile banking and communications to discuss how to scale up the many successful pilots of mobile money, what made those pilots and success and how to replicate them, and the implications of the sector for U.S. diplomacy and development. The August 2010 event had more than 240 attendees and a like number watching online from around the world. More information about the program is available at <http://www.state.gov/statecraft/tech/index.htm>; and information regarding events and collaborations surrounding them is located at <http://tech.state.gov>.

Department of Veterans Affairs

VA Innovation Initiative

VA has developed a Department-wide program, the VA Innovation Initiative or VAI2, to bring the most promising innovations to VA's most important challenges to create visionary solutions in service to veterans. VAI2 is a flagship program designed to tap the talent and expertise of individuals both inside and outside government to contribute new ideas that ultimately produce new, innovative solutions that advance VA's ability to meet the challenges of becoming a 21st century organization.

VAI2 invites employees, private sector companies, entrepreneurs, and academic leaders to contribute their best ideas for innovations that increase veterans' access to VA services, improve the quality of services

delivered, enhance the performance of VA operations, and reduce or control the cost of delivering those services that veterans and their families receive. VAI2 will identify, prioritize, fund, test, and deploy the most promising solutions to VA's most important challenges.

VAI2 invests in solutions that better ensure that veterans and their families receive the benefits that they need and have earned. Access supports seamless, convenient, and effective interaction between VA and veterans, providing the right care at the right time and in the right place. Improving access is a central component of VA transformation because it serves as an enabler of improved service to veterans.

Environmental Protection Agency

The Toxic Release Inventory Program

The Toxic Release Inventory Program (TRI) was created in 1986 through the Emergency Planning and Community Right-to-Know Act (EPCRA) in response to deadly toxic chemical releases from industrial plants in Bhopal, India and West Virginia. These incidents highlighted the need for state and local governments and the general public to have ready access to information on industrial releases of toxic chemicals in their communities. Today, TRI is one of the premier "community right-to-know" programs in the world.

Now, due to the Environmental Protection Agency's (EPA) use of advanced information technologies at all levels – from facilitating electronic reporting by industrial facilities, to processing and exchanging the data with states, to making the data available to the public via online tools – communities have access to TRI data earlier than ever before. The TRI data for each reporting year (RY) (i.e., same as the calendar year) is reported to EPA by July 1st of the following year. This year, EPA was able to release the 2009 data in late July; the first time TRI data has ever been available in the same month as it was reported to EPA. EPA has developed multiple tools with a range of analytical capabilities to give communities easier access to the data. The tools contain TRI data from all reporting years and allow users to identify toxic chemical releases at the city, county, state, or zip code level, and some include mapping capabilities. Envirofacts, a multi-system data warehouse, integrates TRI and other databases containing waste, water, toxics, air, and radiation data and provides geospatial maps. *TRI Explorer* quickly retrieves information about TRI releases and transfers and other waste management activities. *TRI.NET* is well-suited for running detailed queries and also integrates with mapping technologies. For the first time, EPA is also making TRI data available through *myRTK*, an application for Web-enabled cell phones. For users who prefer to conduct their own analyses, TRI data are also provided in easy-to-use downloadable data files accessible through the TRI website (<http://www.epa.gov/tri>) and links from *Data.gov*. In addition to trying to expedite availability of data, EPA recently made available via *Data.gov* all of its earlier year data, making over 1,300 data sets available for multi-year trend analysis.

General Services Administration

Innovative Provider

In May 2010, a new version of *Data.gov*, the Federal Government's online data repository was launched. The redesign included adding a Government specialized search capability that links to data sets and applications with a new focus on usability. The new look and feel of the site is more in line with that of the Federal IT Dashboard or *USAspending.gov*, making navigation and use easier for the average user. Additionally, visitors to the site will be able to see the top 10 data sets by number of downloads and the top states and countries visiting *Data.gov* and looking at certain data sets. Also, data sets suggested by the public will be tagged. The General Services Administration also provided an innovative online platform, called *Challenge.gov*, which allows all Federal agencies to post challenges and offer prizes. *Challenge.gov* is a single comprehensive database for Government challenges and provides an online forum for the agency to post the problem or call to action, and invite a community of solvers to suggest,

collaborate on, and judge solutions. Challenges can include fairly simple suggestions on ideas, creation of logos, videos, games, mobile apps, or proofs of concept solving the grand challenges of our time. *Challenge.gov* seeks to increase public involvement with the government and works to close the technology gap between public and private sectors. The capability has been popular with agencies with over 56 challenges posed from 27 agencies, many receiving dozens of solutions and ideas.

National Science Foundation

Research.gov Services

The National Science Foundation (NSF) is leveraging *Research.gov* (<http://www.research.gov/>), a multi-agency community driven solution led by NSF, to provide the public with easy and transparent access to key information and services from multiple agencies in one location. *Research.gov* improves access to information and increases the transparency of the results being achieved with federally funded research through the Federal award-making process. NSF is providing the public with improved insight into federally funded research and outcomes through innovative new *Research.gov* services, such as Research Spending and Results, the Project Outcomes Report for the general public, and Science, Engineering, and Education Innovation.

Research Spending and Results: Research Spending and Results provides the public with information about how NSF and National Aeronautics and Space Administration (NASA) grant award dollars are being spent, what research is being performed, and how the outcomes of the research are benefiting society. Research Spending and Results provides the high-value details about research awards that the public and the research community have requested, such as abstracts (descriptions of the planned research at the time the award was made) and publication citations (details and links to magazines and journals that have published the research). Information available through Research Spending and Results is provided in open, accessible formats (XML, CSV, and Excel) and is updated nightly to ensure the public is receiving current information in a timely manner.

The Project Outcomes Report: The Project Outcomes Report for the General Public is a new type of report, written in plain language, that provides clear insight into the outcomes and broader impacts of NSF-funded research and education in compliance with mandates set by PL-110-69. These reports, which provide snapshots of the outcomes at the end of an award, are authored by the researchers, providing the public with first person accounts from the individuals on the forefront of scientific discovery. The reporting tool also provides the capability to include images to accompany reports and the ability for investigators to add to the reports over time, so information about the broader, future impacts of the research can easily be made available. Within 24 hours of submission, reports are made available for the public to view online through Research Spending and Results.

The Project Outcomes Report Service was recently released on *Research.gov* and NSF has already started to receive reports. As the number of Project Outcomes Reports available through *Research.gov* increases and the public begins to actively view the submitted reports, NSF will monitor its online feedback mechanisms for input received from the public regarding the quality and comprehensibility of the reports. NSF will then use this feedback to develop outreach and training materials to help researchers improve and better target the information included in their reports to the general public. NSF will also develop outreach materials that encourage researchers to continue adding to their reports after initial submission in order to provide the public with a comprehensive, robust view of the impacts of the research.

Science, Engineering, and Education Innovation: Launched in the summer of 2010, NSF's new Science, Engineering & Education Innovation (SEE Innovation) website (<http://www.research.gov/seeinnovation>) provides transparent, open access to a collection of information about the outcomes and impacts of

innovative NSF-funded research and education activities. The site provides a broad view of NSF, and spotlights investment outcomes that benefit the larger society in addition to advancing science and engineering. Featured content includes highlights of NSF-funded research projects written in non-technical language; descriptions of major research infrastructure (including centers, facilities, observatories, and research vessels); and easily accessible funding summaries, award details, and lists of recent awards and award abstracts. The funding and award information is sortable by U.S. states and territories, and provides information about “people of distinction” in each state/territory.

Section VII: Compliance with Goals and Provisions of the Act

The E-Government Act requires all agencies report of their efforts to implement all of the E-Government Act provisions and goals. This section provides an overview of each individual agency's activities during FY10 to remain in compliance.

Department of Agriculture

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The United States Department of Agriculture's (USDA) Information Technology Strategic Plan is located at: http://www.ocio.usda.gov/n_USDA_IT_Strategic_Plan.pdf.

USDA's Enterprise Architecture Transition Plan is located at:

[http://www.ocio.usda.gov/e_arch/doc/Final%20USDA%20ETP%20v%203%2000_rev92109%20\(2\).pdf](http://www.ocio.usda.gov/e_arch/doc/Final%20USDA%20ETP%20v%203%2000_rev92109%20(2).pdf)

In FY10, USDA created the Enterprise Architecture Program Management Plan: FY10 – FY12, which provides the core, foundational elements for an actionable, three-year (FY10-FY12) roadmap of program-level initiatives and tasks that will mature the EA Program and support USDA in IT decision making. The Plan is located at:

http://www.ocio.usda.gov/e_arch/doc/USDA%20EA%20Program%20Management%20Plan%20FINAL%20v1%2000.pdf

Information Dissemination Management to the Public

USDA organizes and categorizes information intended for public access on their website, located at:

<http://www.usda.gov>.

The priorities and schedule for posting content on *USDA.gov*, as well as agency and staff office websites is located at: <http://w3.usda.gov/comments/contentinventory.html>.

Improved Performance in Support of Agency Objectives and Strategic Goals

USDA's FY11 Budget Summary and Annual Performance Plan are located at:

<http://www.obpa.usda.gov/budsum/FY11budsum.pdf>.

USDA's 2009 Performance and Accountability Report, which provides information on USDA's core performance measures, is located at:

http://www.ocfo.usda.gov/usdarpt/pdf/FINAL%202k9_USDA_Combined_PAR_11.25.09vF8.pdf.

Freedom of Information Act (FOIA) Compliance

- USDA's primary FOIA website is located at: <http://www.usda.gov/da/foia.htm>
- USDA's FOIA handbook is located at: http://www.usda.gov/da/foia_guide.htm.
- Documents that are frequently requested by the public under FOIA are located at: http://www.usda.gov/da/foia_reading_room.htm.

Dissemination of Federal Research and Development (R&D) Funding to the Public

USDA's public website to disseminate research and development information to the public is located at:

<http://www.usda.gov>.

A list of research projects is available in the directories of *Science.gov* at <http://www.science.gov>, to provide easy access to all-encompassing government wide research materials. The guidelines outlined and

links provided on http://www.ocio.usda.gov/qi_guide/scientific_research.html regulate the scientific research information used, produced, and published by USDA in order to preserve the objectivity, utility, quality, and integrity of scientific research disseminated by Federal agencies.

The Agricultural Research Services (ARS) is USDA's primary scientific research agency that seeks solutions to everyday agricultural problems by frequent collaboration with research partners from universities, companies, organizations, and foreign countries. Their website is located at: <http://www.ars.usda.gov/main/main.htm>.

Research and information to inform public and private decision making on economic and policy issues related to agriculture, food, natural resources, and rural America can be found on the website for the Economic Research Service (ERS) and is located at: <http://www.ers.usda.gov/Data/>.

The Forest Service Research and Development website provides research and policy developments regarding our precious natural resources to both the public and Federal employees and is located at: <http://www.fs.fed.us/research>.

The Center for Nutrition Policy and Promotion (CNPP), a component of USDA's Food and Nutrition Service, works to improve the health and well-being of Americans by developing and promoting dietary guidance that links scientific research to the nutrition needs of consumers. Current research and dietary regulations can be found at: <http://www.cnpp.usda.gov/>.

Both the National Agricultural Statistics Service (NASS) and National Agricultural Library (NAL) are useful tools in the search for agricultural research, facts, and figures. USDA data, estimates, and official statistics can be found at: <http://www.nal.usda.gov/> and <http://www.nass.usda.gov/>.

Dissemination of Formal Agency Agreements with External Entities to the Public

NAL expands public access to agricultural information and facilitates the successful development of NAL's programs and services through partnerships with external libraries, organizations, and private industry. A list of NAL's partnerships can be found at http://riley.nal.usda.gov/nal_display/index.php?info_center=8&tax_level=2&tax_subject=156&level3_id=0&level4_id=0&level5_id=0&topic_id=1779&&placement_default=0.

Information on the Land-Grant University System and the National Institute of Food and Agriculture's (NIFA) partnerships is available at http://www.csrees.usda.gov/qlinks/partners/state_partners.html while information about the respective grants and the application process is available at <http://www.csrees.usda.gov/fo/fundview.cfm?fonum=1082>.

USDA updated the enterprise-wide simple search and location instrument for public visitors (<http://www.usda.gov>) and it also has links to other agency websites.

USDA's partnerships with Business Gateway (<http://www.business.gov>), *Grants.gov* (<http://www.grants.gov>), and *GovBenefits.gov* (<http://www.govbenefits.gov>) provide opportunities for efficient exchange of USDA information between the Federal Government and the public.

National Archives and Records Administration (NARA)-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

USDA's website that contains publicly-posted records schedules is located at: <http://www.ocio.usda.gov/records/index.html>

As of September 30, 2010, USDA identified 366 systems that require schedules. A total of 272 schedules have been submitted to NARA. Of those submitted schedules, 141 have been approved, and 131 are still pending NARA review. USDA is working to submit the remaining 94 systems to NARA.

Implementation of Electronic Signatures for Interoperability

USDA's LincPass credentials meet National Institute of Standards and Technology (NIST) guidelines for electronic personal identity verification, and will be used in the future as part of USDA's electronic signature solution. Initially, USDA is using LincPass credentials to electronically authenticate and authorize users for access to protected web applications. USDA's new LincPass – eAuthentication single sign-on (SSO) service went live on September 28, 2010, giving USDA employees and contractors single sign-on access to 375 USDA web applications.

In addition, USDA is implementing use of electronic signatures in the Ethics E-Filing Use of Electronic Signatures. The USDA Departmental Management Office of Ethics (OE) is planning to implement an Ethics Forms Automation (EFA) system to allow for the e-filing of confidential (OGE-450) financial disclosure reports. The OE is responsible for ensuring that all statutorily required personnel file their required ethics compliance documentation at the right time and in full. This includes, for the relevant parties, OGE Form 450 - "Annual Confidential Financial Disclosure Report." OGE Form 450A can be used in lieu of OGE Form 450, if no financial changes have occurred during the year.

Electronic Means of Enhancing Public Participation in Government

USDA's use of *Regulations.gov* and the complimentary Federal Docket Management System (FDMS) is the Department's primary area of focus for increasing the public's participation in the process of developing and issuing regulations. USDA's 14 rule-making agencies completed migration to the Federal Docket Management System (FDMS) on December 8, 2006. As a result, all USDA Federal Register rules, proposed rules, and notices have been made available for public comment on E-Rulemaking's *Regulations.gov* since that time. The website has made numerous improvements over the years to improve the user's experience, and as a result public participation has continued to increase since the site's inception. In FY07, USDA agencies posted 1,343 rules, proposed rules, and notice documents and received 9,773 comments from the public in response. In FY10, USDA agencies posted significantly fewer rules, proposed rules, and notice documents, 477 in all, but received 26,002 comments from the public in response. This is a direct demonstration of the public's increased participation in USDA's rulemaking process.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

USDA's Office of the Chief Information Officer (OCIO) capital planning staff and executive management work closely with IT investment owners to emphasize business results and citizen benefits in all departmental IT life-cycle decision making activities – from structured investment selection events, to executive capital plan reviews, to acquisition plan approvals, ending with ongoing operational asset analyses. USDA's OCIO ensures that key IT investment stakeholder and partner interests are included at every step of the IT life-cycle. The OCIO does this by monitoring IT projects for the regular use of comprehensive and inclusive project charters that encourage stakeholder/customer involvement, and by emphasizing the use and management of key stakeholder and customer performance goals and measures in the ongoing execution of IT projects.

For example, of USDA's total discretionary IT funding (\$2.03B) in each of FY10 and FY11 (estimated) more than half (\$1.10B) is dedicated to Services to Citizens. Also, more than two-thirds (\$1.36B) of the FY10 and 2011 (est.) IT portfolios are managed as Major Investments. These Major Investments include

more than 1,600 individual Performance Measurement Areas; nearly half of which are focused on Mission and Business Results (455 measures) and Customer Results (348 measures). Of the Customer Results measures: Customer Benefits were clearly the main focus with 44 percent representation; both Service Coverage and Timeliness/Responsiveness each represented 19 percent of measures; Service Accessibility was listed 11 percent of the time; and Service Quality appeared as slightly more than seven percent of measures.

Specific examples of recent stakeholder and customer performance measurement results include:

Measurement Indicator	Reporting Frequency	Unit of Measure	Performance Measure Direction	Baseline	Target	Actual Result
Percentage of electronic information collections completed online	Annual	Percent	Increase	30%	40%	40%
Average number of days required to complete Direct Loan processing	Annual	Number	Decrease	35 days	Decrease to 33.5 days by end of FY09	The Average number of days required to complete Direct Loan processing is 29.9 Days for FY09
Conservation applied to grazing land to protect the resource base (Acres)	Annual	Acres	Maintained	Projected baseline is 17.5M acres	Projected national goal is 17.5M acres	Est. national goal of 17.5M acres

Reducing Errors through Electronic Submissions

- Grants.gov*: The *Grants.gov* APPLY function has helped reduce errors in grant applications submitted online through the *Grants.gov* website. Applicants access grant application forms on *Grants.gov*, download and complete them offline, and upload the finished products in the *Grants.gov* system for submission. *Grants.gov* helps reduce errors by performing data validation to ensure that required fields in the application forms have been appropriately populated. If errors exist, the applicant is notified immediately and is able to correct the information before final submission to the government. USDA typically receives more than 10,000 grant applications through *Grants.gov* each year.
- E-Payroll*: USDA's National Finance Center (NFC) extensively uses electronic means to receive and submit data to and from its customers. Specifically, all time and attendance records are submitted to NFC via electronic transmission and the resulting payroll and accounting files are returned to customers via electronic transmission. Customer data is typically received through front-end systems that contain specific edits and accounting code validations in order to minimize errors in data used to calculate pay. Additionally, NFC has implemented and expanded services through the use of its Employee Personal Page where Federal employees can view their payroll

data, make or modify elections regarding health and life insurance, modify dependent counts for withholding adjustments, create financial allotments, etc., via the internet, thereby, significantly reducing paper forms and other human intervention in these routine adjustments.

Efforts to Comply with Section 508 Regarding Information Management

USDA addresses Section 508 compliance in three major ways. First, USDA has established Section 508 Coordinators within most agencies and staff offices. These coordinators work closely with program and technical staff to help ensure that Section 508 standards are being adhered to at the application level. For example, the coordinators work with web page designers to ensure compliance and accessibility for the public and for USDA employees. In addition to these agency-level efforts, USDA has also created a senior leadership team that is directly invested in the compliance process. This team reports jointly to the Chief Information Officer (CIO) and the Chief Administrative Officer (CAO) and makes recommendations concerning the implementation and enforcement of Section 508 requirements to ensure senior executive leadership and systematic accountability throughout the Department. Moreover, the team supports the Secretary's goal to make USDA a model employer and provider of accessible services. Finally, USDA establishes compliance requirements and provides guidance and communication related to the initiative in the form of departmental issuances, e.g., memos, emails, and policy directives.

In addition to the efforts described above, there also exists a Section 508 departmental lead located within the Information Management Division of OCIO at USDA. This lead helps maintain communication with the General Services Administration (GSA) (the entity that provides agencies with training and technical assistance with respect to the Government-wide 508 program) and the Access Board (the board that implements 508 technical regulations). In addition, the departmental lead works with the USDA 508 Agency/Staff Office Coordinators to maintain 508 websites, explore the implementation of new Section 508 technologies, maintain the Section 508 Coordinators SharePoint site, facilitate Section 508 training opportunities, and resolve any Section 508 issues that may arise within the department.

All of these efforts have helped USDA successfully maintain compliance with Section 508. USDA's Office of the Assistant Secretary for Civil Rights (ASCR) reported that there are no systemic problems with the USDA Section 508 Compliance program based on program audits. Many Section 508 issues at USDA have been effectively resolved at the agency level without the need for elevation, and there are currently no known litigation actions based on Section 508.

Quantifying Cost Savings Achieved through Implementation of IT Programs

Enterprise Data Center Consolidation: In FY10, the Enterprise Data Center (EDC) effort's primary focus was to establish cloud computing platforms, related virtualized enterprise storage, and disaster recovery capabilities that will serve as the target platforms for many, if not most, of the agency computer room consolidations. (Throughout FY10 a number of consolidations were completed or substantial progress was made.)

- Food Safety and Inspection Service successfully relocated their South Building computer room applications to the EDC and cut over production in the fourth quarter FY10 for an estimated annual savings of \$234,364.
- Foreign Agricultural Service is in the process of transferring all 32 of their business applications to the EDC with an expected completion date of the first quarter FY11. All application data and 80 percent of all servers have been copied over to the EDC Cloud Computing Platform as a Service offering. Once migration of applications is complete the estimated annual cost savings are \$564,202.

- Office of the Inspector General is in the process of transferring their Kansas City computer room to the EDC with an expected completion in the second quarter FY11.
- Economic Research Service is in the process of transferring their Washington, D.C. computer room to the EDC with an expected completion in the third quarter FY11.
- Forest Service is in the process of consolidating and migrating over 200 Forest Service locations to the EDC. This process is expected to be complete by the fourth quarter FY12. In FY10 they successfully moved 22 locations to the EDC.

GovTrip: USDA implemented a policy change in the selection order that government city pair fares are displayed. Priority was given to the capacity-controlled city pair fares, which are generally 33 percent lower than the regular city pair fares that were originally displayed. Additionally, agencies opted to allow booking non-refundable and restricted fares. While specific numbers are not yet available, the early projections are that these changes will mean savings of around \$2.5M annually. Linked with the savings for online transactions fees of around \$3.5M annually, the program is continuing successfully.

E-Training: Since FY08, the AgLearn program has been collecting success statistics that have enabled measurement of: growth in use of AgLearn, effective cost avoidance by replacing some traditional training with online training, overall employee satisfaction with USDA's available offerings, and use of online processes to create external training requests and individual development plans.

In FY09, the AgLearn program measured an effective cost avoidance of just over \$22M. By September FY10, the AgLearn program had already achieved an effective cost avoidance of nearly \$33.5M. This represents a 52 percent growth in overall costs avoided over the last fiscal year. Considering that the AgLearn budget (both Presidential initiatives and working capital fund combined) was \$5M, this represents an overall USDA return on investment of 670 percent.

As part of these measurements, the AgLearn program also measures discretionary training completions. This provides an effective means to measure training that USDA employees want to take for their personal and professional development. In FY09, there were 77,448 discretionary course completions. Through August of FY10, there have already been 123,885 discretionary course completions. This represents a 60 percent growth over last fiscal year. Additionally, each discretionary course is configured with a post training satisfaction survey that measures the benefit the training has brought to the participant. Overall, the users believe that the discretionary training has improved their skills, provided skills that will be used often, and will be very useful in their jobs.

E-Payroll: As one of four Shared Service Centers for payroll services, the National Finance Center (NFC) currently calculates payroll for over 650,000 Federal employees. Since 2006, the average number of Federal employees paid each pay period increased from 558,479 to 636,547, an increase of 78,068, without any significant increase in the IT infrastructure. Additionally, rate increases charged to customers have consistently been kept below the current inflation rates. In 2006, NFC's average rate for payroll services was \$136.20. Using an average 3 percent inflation rate, the 2011 average rate would be approximately \$157.91. NFC's current projected 2011 rate is \$149.84, a realized savings of \$8.07 per Federal employee paid.

Department of Commerce

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Department of Commerce's (Commerce) Information Technology Strategic Plan is located at:

http://ocio.os.doc.gov/s/groups/public/@doc/@os/@ocio/@oitpp/documents/content/prod01_008860.pdf

Commerce has established an Enterprise Architecture (EA) that promotes the effective management and operation of its IT investments in support of the business goals of the Department. The EA provides a comprehensive, integrated picture of current capabilities and relationships (the current architecture), a blueprint for the future based on the Department's strategic goals (the target architecture), and a strategy for managing a transition from the current to the target environment. The EA also describes the information needed to carry out the Department's business processes; identifies the system applications that create or manipulate data to meet business information needs; and documents the underlying technologies that enable the generation and flow of information.

Information Dissemination Management to the Public

Final determinations governing information dissemination are addressed in Commerce's Information Quality Guidelines, which is located at:

http://ocio.os.doc.gov/ITPolicyandPrograms/Information_Quality/DEV01_002680

The schedules are located at:

http://ocio.os.doc.gov/ITPolicyandPrograms/Information_Quality/PROD01_002000

Improved Performance in Support of Agency Objectives and Strategic Goals

Commerce's Performance and Accountability Report (PAR) informs the President, Congress, and the American people of how well the Department of Commerce has managed its finances and programs and it can be found at: <http://www.osec.doc.gov/bmi/budget/FY09PAR.html>

Freedom of Information Act (FOIA) Compliance

- Commerce's primary FOIA website is located at: http://www.osec.doc.gov/omo/FOIA/FOIAWEB_SITE.htm
- The Commerce FOIA handbook is located at: <http://www.osec.doc.gov/omo/FOIA/foiarequest.htm>
- Documents that are frequently requested by the public under FOIA are located at: <http://www.osec.doc.gov/omo/FOIA/ereadingroom.htm>.

Dissemination of Federal Research and Development (R&D) Funding to the Public

The Commerce public website to disseminate R&D information to the public is located at:

http://ocio.os.doc.gov/ITPolicyandPrograms/E-Government/PROD01_003924.

Dissemination of Formal Agency Agreements with External Entities to the Public

The Commerce Data Dissemination Agreements website provides the public with the agreements (e.g., contracts, memoranda of understanding, and partnerships) with external entities (e.g., partnerships with state and local governments, public libraries, industry, and commercial search engines) that complement Commerce's information dissemination program and is located at:

http://ocio.os.doc.gov/ITPolicyandPrograms/E-Government/PROD01_003960.

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

The Commerce website that contains the publicly-posted records schedules is located at:

http://ocio.os.doc.gov/ITPolicyandPrograms/Records_Management/index.htm via a link to the National Archives and Records Administration (NARA) Government-wide Repository of Records Control Schedules website at <http://www.archives.gov/records-mgmt/rcs>.

Commerce reported to OMB that there are a total of 311 Commerce E-Records systems or series, of which 243 (or 78 percent) have been scheduled or for which schedules were developed and/or submitted

to NARA for review at the end of FY10. Commerce continues to vigorously review its records schedules and develop new ones. As the result of increased emphasis and close coordination with NARA, Commerce has reduced the number of unscheduled E-Records from 99 at the end of FY09 to 68 at present.

Implementation of Electronic Signatures for Interoperability

The Travel Management Information System (TMIS+) is used by over 5,000 travelers at the Census Bureau and provides users the ability to electronically create, process, and track all travel-related documents (including authorizations and certifications). TMIS+ uses Public Key Infrastructure (PKI) technology to electronically sign travel documents. Electronic signature technology for TMIS+ provides a paperless travel system and eliminates much of the work a traveler must do before and after the trip. The traveler uses an on-line document to enter estimated travel costs, which is then approved by an official by placing an electronic signature on the data. On return, the traveler enters in the actual expenses for the trip and electronically signs the on-line travel voucher. The document is routed to the financial officers who review the costs and electronically sign the document before approving the document for electronic payment to the traveler. TMIS+ is fully integrated into the Census Bureau's financial system.

The U.S. Patent and Trademark Office (USPTO) uses Public Key Infrastructure (PKI) for patent application submissions (EFS Web) and for trademark applications (TEAS). USPTO uses the Federal PKI bridge to enable certain PKI transactions to support efficient interoperability. USPTO first obtained the Federal Bridge Certificate Authority in 2005.

Electronic Means of Enhancing Public Participation in Government

The National Oceanic and Atmospheric Administration (NOAA), Commerce's largest operating unit, implemented the Federal Docket Management System (FDMS) for all rulemaking actions, beginning on October 1, 2007. All rulemaking-related notices are discoverable through *Regulations.gov* and the public is invited to submit comments on those actions on-line, through *Regulations.gov* (<http://www.regulations.gov/search/Regs/home.html>). In addition to the public comments and the Federal Register documents, USPTO also posts all supporting materials and documents so that the public can retrieve them through *Regulations.gov*. The other Commerce rulemaking operating units also use *Regulations.gov* to notify the public of rulemaking activities.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

Commerce uses IT to deliver information and services to stakeholders and to ensure that performance goals are met in many ways. The following are examples from NOAA's Line Offices.

The Drought Portal (<http://www.drought.gov>) and the NOAA Climate Services Portal (<http://www.climate.gov>) are multi-agency efforts to greatly expand the access and use of climate products in multiple sectors: private, research, government, etc. Direct engagement with stakeholders has been and will continue to be a critical part of this effort. The use of appropriate IT resources and technologies is ensuring success in these major programs.

NOAA's Office of Oceanic and Atmospheric Research (OAR) frequently evaluates electronic information needs through feedback gleaned from the scientific community at scientific and professional conferences, and from stakeholder forums conducted as part of an ongoing communication program. Individual laboratories and program offices maintain close contact through working relationships, cooperative agreements, and other official partnerships with key stakeholders (primarily academia, non-governmental organizations, and Federal scientific agencies) to bring information to the right people at the right time.

The National Marine Fisheries Service (NMFS) National Permits System (NPS) was designed to serve the needs of private sector stakeholders, as well as other NOAA components. Significant improvements in data quality have been realized through the NPS ability to link to external sources, such as the U.S. Postal Service for address validation; the Social Security Administration to ensure applicants are still living and eligible to receive permits; the U.S. Coast Guard to verify vessel documentation numbers; and the NMFS Office of Law Enforcement to verify that equipment required by law on certain vessels is installed and operational.

The DSFA (trade name, not an acronym) application for the NOAA Seafood Inspection Program (SIP) offers a variety of professional inspection services to assure compliance with all applicable food regulations. DSFA provides customers with single-point access to request various services provided by SIP. It is located at: <https://seafoodinspection.nmfs.noaa.gov/customer/customerlogin.html>.

Reducing Errors through Electronic Submissions

The Bureau of Economic Analysis (BEA) has integrated electronic reporting options for international and government investment survey data suppliers and upgraded electronic data dissemination for data users. In the area of electronic data collection, BEA maintains a data collection program covering U.S. direct investment abroad, foreign direct investment in the United States, and U.S. international trade in services. In the last five years, BEA developed and implemented the eFile system to support electronic (web-based) survey data collection for all active BEA surveys. eFile reuses data previously collected to minimize the burden on businesses and new and revised surveys are added to it on an ongoing basis. The Bureau has noted an increase in response rates since eFile was implemented. In addition, BEA developed an electronic data collection system for a joint National Institute of Health (NIH)/BEA survey that supports BEA's estimation of the Biomedical Research and Development Price Index (BRDPI). All of these electronic filing processes reduce respondent burden for reporters and improve internal efficiencies for producing the respective estimates by reducing the costs of printing, mailing, collecting, and data conversion of paper forms. Additionally, the electronic filing process significantly improves the timeliness and comprehensiveness of the international accounts estimates.

USPTO has deployed the Electronic Filing System-Web (EFS-Web) for patent application filing and Trademark Electronic Application System (TEAS) for trademark application filing. EFS-Web utilizes standard web-based screens and prompts to enable the applicant to submit patent application documents in PDF format directly to the USPTO. TEAS allows the applicant to fill out an application form and check it for completeness, and then submit the application directly to USPTO over the internet. In addition, the Agency encourages applicants to pay for their applications electronically by credit card, through an existing USPTO deposit account, or via electronic funds transfer. EFS-Web provides an Acknowledgement Receipt that contains critical information, including date stamp, an application number and a confirmation number. This receipt is electronic and may be printed. The receipt carries the security and authority of the post card receipt commonly provided in paper-filed applications. All electronic processes are designed to not only increase the speed at which patents are granted and trademarks issued, but to also decrease errors and improve communication.

Partnership programs with Tribal, State, county, and local governments were integral in updating geographic base data in support of the 2010 Census. A component of the partnerships program is participant review of Census Bureau map products. The Census Bureau provided geographic information files (TIGER/Line Shapefiles) that could easily be imported into Geographic Information Systems, reducing the burden on participants and improving internal efficiencies.

The Census Bureau's Participant Statistical Areas Program (PSAP) Master Address File/Topologically Integrated Geographic Encoding and Referencing (MAF/TIGER) Partnership Software was provided to local entities at no cost to review and update Census statistical areas (attributes of Census tracts, block groups, Census Designated Places, and Census County Divisions) following Census Bureau criteria and guidelines for Census 2010, the American Community Survey (ACS), and other Census Bureau data tabulation programs. This newly initiated electronic participation option improved timeliness of database updating, reduced errors, and allowed for earlier tabulation for release of counts and map products for redistricting.

Efforts to Comply with Section 508 Regarding Information Management

Commerce maintains an Electronic and IT Accessibility website that provides the public and Commerce employees with information about their rights under Section 508 and Commerce policies and procedures to ensure that Commerce information is accessible. It is located at:

http://ocio.os.doc.gov/ITPolicyandPrograms/IT_Accessibility/index.htm.

The Commerce Section 508 Coordinator maintains a network of Section 508 coordinators throughout the Commerce operating units to communicate Commerce accessibility policy and share best practices. Commerce ensures that all of the information on its websites is fully accessible to individuals with disabilities through its annual Web Certification program.

Commerce operating units review procurement requests to determine if Section 508 applies and to ensure compliance. Public facing web pages are routinely scanned for compliance with standard 1194.22 “web-based intranet and Internet information and applications” using automated tools. Internal pages are scanned on demand, and discrepancies are corrected as soon as possible. Training is offered to web content managers and content providers to emphasize the importance of Section 508 compliance and the standards of Section 508. Commerce is committed to ensuring that Section 508 is fully implemented and that Commerce websites are accessible to all.

Quantifying Cost Savings Achieved through Implementation of IT Programs

NOAA’s Office of Oceanic and Atmospheric Research (OAR) Headquarters has implemented two IT projects to support the current Telework/Mobile Workforce programs:

OAR Intranet Sharepoint Site and OAR HQ Citrix Portal: Although quantifiable cost avoidance or savings have not yet been documented for the implementation of these systems, potential savings may be realized and documented through metrics and performance measures of the Federal telework program. For example, in the past year, a massive storm blanketed the Washington DC area for days, closing all Federal Government agencies in the area. Instead of a 100 percent productivity loss during the outage, at least half of the OAR HQ workforce were logged in the servers and were identified as “connected and working” using the both the Sharepoint and the Citrix portals. OAR seeks to better document these IT-enabled workforce improvement initiatives and hopes to quantify both their potential and actual cost savings/avoidance in the future.

A NOAA-wide plan for consolidating software licenses was put in place this year. FY11 costs will be approximately \$240,000 less than those for FY10, with further decreases showing with each purchase cycle.

The National Ocean Service (NOS) continues to consolidate purchasing to gain economies of scale and reduction in costs, including:

- Efforts to expanding the list of common software and hardware for consolidated purchasing has resulted in cost savings of over \$600,000.
- Leading efforts to consolidate the purchasing of storage needs for program offices, as well as expanding and enhancing the enterprise storage capabilities of the OCIO. This resulted in an estimated cost saving of \$300,000 in FY10.
- Leading efforts to implement a pilot program for managing ESRI licenses called OpenLM. This program allows Program offices to pool their license resources as opposed to each office maintaining its own licenses for commonly used ESRI applications such as ArcInfo, ArcView, Spatial Analyst, and 3D Analyst. This initiative has potential savings of over \$25,000 in the first year.

The new web-based DSFA application for the Seafood Inspection Program generates European Export Health Certificates and Illegal, Unregulated, and Unreported Catch Certificates. It is estimated that this has saved the U.S. seafood industry approximately 15 minutes per certificate, which translates into 6,250 hours, 4 FTEs and nearly half a million dollars.

The Census Bureau has begun to make significant advances toward making headquarters and offices more environmentally responsible. By taking steps to minimize idle time, maximize efficiency, and avoid waste, the Census Office of the CIO (OCIO) is helping employees adopt environmentally conscious practices without negatively affecting performance.

To achieve this mission, the Census OCIO has installed printers, monitors, and PCs that improve the way the Census Bureau uses energy and consumes resources. Previously, most printers were used at less than 40 percent of their monthly capacity. To help mitigate this inefficiency, the Census OCIO has consolidated printers where feasible. Printers that are deemed outdated are considered surplus and removed. Additionally, printers have been configured for page duplexing, private printing, power-safe mode, and the removal of banner pages. To date, the Census Bureau has reduced the number of network printers in the Census OCIO by 30 percent. The Census Bureau has removed all local printers in the Census OCIO and local printers are provided only with approved special accommodation.

Throughout the Census Bureau, monitors go into power-safe mode after 10 minutes of inactivity. During normal activity, most liquid crystal display (LCD) monitors use roughly 33 watts of electricity. After switching to power-safe mode, most of these monitors drop down to 3 watts of electrical usage, saving about 90 percent more than normal power. The hard disk drive is put into standby mode after 20 minutes of inactivity. Additionally, the Census OCIO is testing the possibility of moving the central processing unit into a sleep mode after 30 minutes of idle time. Most computers use between 60 and 250 watts of power to operate normally. When sent into sleep mode, computers only use about 5 watts of electricity, resulting in an 80 percent savings in power. Limited power usage will help contribute to a cleaner, safer environment.

The USPTO is initiating a major modernization effort called the Patent End-to-End system, which will automate all remaining paper processes in patent operations. Among its benefits is the potential to reduce costs for electronic processing by relying on standardized and well-structured *textual data* provided by patent applicants, rather than *images* of the data they provide, which will make the data far more usable during the patent examination and publication processes, and will reduce the costs for electronic storage and exchange of the data. These potential cost avoidances have not yet been quantified.

Department of Defense

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Department of Defense (DOD) Information Technology Strategic Plan is located at: <http://cio-nii.defense.gov/docs/DODIESP-r16.pdf>

The DOD Enterprise Architecture Transition Plan is located at:

https://www.intelink.gov/wiki/DOD_CIO/DOD_EA

As described there, the DOD Enterprise Architecture (DOD EA) is a collection of architectures that provide context and rules for accomplishing the mission of the Department. These architectures are developed and maintained at the Department, capability area/segment, and Component levels and collectively define the people, processes, and technology required in the current and target environments, and the roadmap for transition to the target environment. The above URL also provides other key architecture links such as to DOD's overall architecture strategy and the DOD Information Enterprise Architecture (DOD IEA) that provides guidance for all of DOD information technology.

Information Dissemination Management to the Public

The Virtual Lifetime Electronic Record (VLER) initiative establishes an electronic health information exchange capability as a model for nationwide implementation within and between government and the private sector. VLER is an interagency initiative which creates an effective means for electronically sharing health and benefits data of Service Members and veterans. By the end of the fourth quarter of FY11, DOD will implement VLER production capability in at least three sites. VLER capability deployment was initiated during the fourth quarter of FY10, and DOD will complete the production capability phase for VLER implementation by the end of the first quarter of FY13.

DefenseLINK has been revamped to be the Department's premier public information site for all current information on DOD. It is now called *Defense.gov* and is located at: <http://www.defense.gov>.

Major DOD Organizations can be found at:

<http://www.defense.gov/RegisteredSites/RegisteredSites.aspx>.

Links to additional major DOD websites which provide information to the public, on the Military Departments (MILDEPs) or DOD specialized functions such as medical support, can be found on the main DOD "Contact Us" page on *Defense.gov* at: <http://www.defense.gov/landing/Questions.aspx>.

The public can also make extensive use of these DOD websites for information pertaining to contracting, logistical activities and the resale of DOD property:

- Defense Contact Management Agency: <http://www.dcms.mil>
- Defense Logistics Agency: <http://www.dla.mil>
- Defense Reutilization and Marketing Service: <http://www.drms.dla.mil>
- For the public interested in doing business with DOD these links appear on *Defense.gov*:
 - Contracting with DOD:
http://www.acq.osd.mil/osbp/doing_business/DOD_Contracting_Guide.htm
 - General business information index:
http://www.defense.gov/landing/contract_resources.aspx
 - General Services Administration (GSA) for contractors and vendors:
<http://www.gsa.gov/portal/category/21317>
 - Advanced research and development: <http://www.darpa.mil>
- New and Emerging Media Sites:

- Social Media Hub: <http://socialmedia.defense.gov/>
- Bloggers roundtable: <http://www.DODlive.mil/index.php/category/bloggers-roundtable/>
- DODLive: <http://www.DODlive.mil/>
- Facebook: <http://www.facebook.com/DeptofDefense?ref=mf>
- Flickr: <http://www.flickr.com/photos/39955793@N07/>
- Twitter: <http://twitter.com/defensegov>
- You Tube: <http://www.youtube.com/thepentagonchannel>
- DOD vClips: <http://www.DODvclips.mil/>
- For Members of the Media:
 - News: <http://www.defense.gov/news/articles.aspx>
 - Photos: <http://www.defense.gov/photos/>
 - Press Resources: <http://www.defense.gov/news/news.aspx>
- Information About the Activities and Processes of the Military Services:
 - Army: <http://www.army.mil>
 - Navy: <http://www.navy.mil>
 - Marines: <http://www.marines.mil>
 - Air Force: <http://www.af.mil>
- Members of the Public Interested in Joining the U.S. Military:
 - Join the Army: <http://www.goarmy.com>
 - Join the Navy: <http://www.navy.com>
 - Join the Marines: <http://www.marines.com>
 - Join the Air Force: <http://www.airforce.com>
 - Alphabetized search tool to find directories and listings on *Defense.gov*:
<http://www.defense.gov/sitemap.html>
- For the public to subscribe to news or request information, *Defense.gov* offers these services:
 - E-mail: <http://www.defenselink.mil/news/DODnews.aspx>
 - DOD news reader feeds (RSS): <http://www.defense.gov/news/rss/>
 - Podcasts: <http://www.pentagonchannel.mil/podcast.shtml>
 - Publications: <http://www.defense.gov/pubs/>
 - Freedom of Information Act (FOIA) requests: <http://www.DOD.mil/pubs/foi/dfoipo/>
 - The American Forces Press Service and DOD Photography widgets (these widgets allow websites to carry a steady stream of the latest official news, images and information about DOD): <http://www.defense.gov/home/features/widgets/>
 - Defense Imagery Management Operations Center:
<http://www.defenseimagery.mil/about/dimoc.html>
 - The Pentagon Channel: <http://www.pentagonchannel.mil/>
 - The Assistant Secretary of Defense for Public Affairs (ASD (PA)) has established a Community Relations web presence that links to the Heroes program, Pentagon Tour program, and the military asset support program and highlights the Home front groups made up of citizens, businesses, and organizations that are supporting the men and women serving in our military. The Community Relations website is located at:
<http://www.ourmilitary.mil/>

Improved Performance in Support of Agency Objectives and Strategic Goals

The DOD High-Priority Performance Goals can be found at: <http://www.Performance.gov>.

Freedom of Information Act (FOIA) Compliance

- The DOD primary FOIA website is located at: <http://www.DOD.mil/pubs/foi/dfoipo/>.

- The DOD FOIA handbook is located at:
<http://www.DOD.mil/pubs/foi/dfoipo/docs/FOIAhandbook.pdf>.
- Documents that are frequently requested by the public under the FOIA are located at:
<http://www.DOD.mil/pubs/foi/rdroom.html>.

Dissemination of Federal Research and Development (R&D) Funding to the Public

The Director, Defense Research & Engineering (DDR&E) works closely with the DOD Comptroller to ensure that consistent, accurate information on R&D activities is available to the public. Funding information associated with individual Program Elements (PE) is located under the Detailed Budget Documents section. The Comptroller's website is located at: <http://comptroller.defense.gov/>.

DOD information at the transaction level on all grants is located at: <http://www.USAspending.gov>. This website was established under the Federal Funding Accountability and Transparency Act. The Federal Assistance Awards Data System (FAADS) is located at: <http://www.census.gov/govs/www/faadsmain.html>.

Finally, DDR&E will be able to provide comptroller verified budget data, per section 207 of Public Law 107-347, once a repository and website are established.

Dissemination of Formal Agency Agreements with External Entities to the Public

In support of the 2009 National Infrastructure Protection Plan, published by the Department of Homeland Security under the requirements of HSPD-7, Critical Infrastructure Identification, Prioritization, and Protection, DOD is actively engaged with private sector owners and operators in sharing of information about cyber threats, vulnerabilities, incidents, and best practices. Additionally, DOD, as the Defense Industrial Base (DIB) Sector Specific Agency, is initiating a collaborative cyber threat sharing program to share cyber threat information with the DIB private sector which will allow DOD to comply with the national cyber security direction and achieve a viable Government-private sector reporting partnership. The Defense Industrial Base Critical Infrastructure and Key Resources Sector-Specific Plan is located at: <http://www.dhs.gov/xlibrary/assets/nipp-ssp-defense-industrial-base.pdf>.

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

The DOD Records Management Program is located at:
<http://www.defenselink.mil/webmasters/policy/DODd50152p.pdf>.

As of October 1, 2010, DOD has the following number of information systems scheduled with NARA in compliance with the Bulletin:

- Army: 1,735 out of a possible 1,772
- Air Force: 148 out of a possible 429
- Navy: 561 out of a possible 1,533
- Marine Corps: 15 out of a possible 208
- OSD: 105 out of a possible 180

DOD continues to work with NARA to schedule all of its remaining information systems.

Implementation of Electronic Signatures for Interoperability

Commercial Wireless Local-Area Network (WLAN) Devices, Systems, and Technologies, (DODI 8420.01) dated November 3, 2009, established policy, guidance, and governance for the use of the digital signature to enable secure electronic transactions. Success has been realized in both the enabling of products to apply and validate digital signatures as well as the perceived value of the capability

throughout the DOD. Digital signatures are used to accomplish DOD's business and mission requirements. They are used to support DOD's business processes such as contracting, travel, forms processing, and personnel actions.

The DOD has enabled the workforce with the capability to digitally sign. The Common Access Card (CAC) is the DOD identification card issued to employees. This smartcard platform contains a digital signing Public Key Infrastructure (PKI) certificate unique to each individual. Employee workstations are equipped with the reader, middleware, and additional software needed to use the digital signing certificate.

DOD Components are responsible for enabling information systems, including networks, email, and web servers, to use certificates issued by the DOD PKI and approved external PKIs to support authentication, digital signatures and encryption.

DOD will continue to rely on and expand the use of digital signatures for security as well as efficiency reasons and pursue interoperability with external partners to leverage digital credentials.

Electronic Means of Enhancing Public Participation in Government

It is Departmental policy to make regulatory dockets electronically accessible and searchable, and to allow for electronic submission of comments using *Regulations.gov*, as part of DOD's implementation of the E-Government Act of 2002.

Department administrators establish regulatory dockets for posting rules and other supporting materials on the *Regulations.gov* website to enable the public to comment electronically. All public comments submitted electronically, or by mail, are posted to the appropriate regulatory docket on the site. In addition to rulemakings, DOD posts and accepts public comment on Federal Register notices, such as Information Collection Requests under the Paperwork Reduction Act and Privacy Act notices. Participation by the Department in this important initiative provides transparency and public access in developing regulations, as well as promoting a more efficient regulatory process within DOD.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

The DOD Information Enterprise (IE) delivers services that provide information and capabilities to end-user communities - both within the Department and with its many external mission partners - enabling more effective and efficient support to mission operations. The DOD IE Strategic Plan was collaboratively developed with key stakeholders to form the Department's approach to achieving the DOD Information Enterprise. Over time, the DOD IE Strategic Plan and associated Roadmap (collectively known as the DOD IE SP&R) will deliver the DOD Information Enterprise envisioned by the National Defense Strategy, the National Military Strategy, the Quadrennial Defense Review, and the Department's Global Information Grid (GIG) 2.0 Concept of Operations (CONOPS) and Implementation Plan.

The DOD IE SP&R establishes goals and associated objectives that form the basis for a plan to guide the transformation of DOD from a stove-piped information approach to achieving the Department's net-centric information sharing vision. The DOD IE SP&R fosters alignment of net-centric information sharing efforts among many stakeholders by identifying, relating and measuring the development and implementation of specific net-centric information sharing policies, programs, and initiatives.

The draft Roadmap portion of the DOD IE SP&R under development establishes a baseline for measuring the Department's performance in achieving the outlined goals and objectives of the DOD IE Strategic Plan. The DOD IE SP&R also highlights how organizations are leveraging net-centric information sharing capabilities to improve the effectiveness and efficiency of processes across the Department.

Reducing Errors through Electronic Submissions

Enabling the capability to electronically submit data in response to surveys, data calls, reporting and other types of information gathering requests have provided DOD with improved data accuracy in real-time. The use of PKI certificates makes signing submissions digitally, whether from an individual or non-person entity, possible. Signing data submissions digitally provides efficiency, data integrity, and non-repudiation.

Efforts to Comply with Section 508 Regarding Information Management

The Office of the Deputy DOD Chief Information Officer (DCIO) is finalizing a DOD Manual to provide guidance and procedures for ensuring the accessibility of electronic and information technology (E&IT) procured by the DOD. The Manual has been staffed within DOD and is scheduled to be released the second quarter of FY11. This DOD Issuance will supplement DOD Directive (DODD) 8000.01 and provide additional guidance to the Department's Section 508 Coordinators. The Manual will address uniform procedures for managing Section 508 programs and provide administrative information to managers regarding the law, roles and responsibilities within DOD, and training requirements for DOD Section 508 Teams. The Manual also contains links and other sources to aid users to quickly find industry "best practice" information.

Quantifying Cost Savings Achieved through Implementation of IT Programs

The Green IT Initiative Driving Department of the Navy Data Center Efficiencies: The Navy-Marine Corps Intranet (NMCI) is the largest network in the world. It runs over 40 server farms and is utilized by more than 707,000 sailors, marines, and civilians in 60 locations throughout the United States and Japan. The rewards have been significant, giving the Navy and Marine Corps better network performance and reliability, yielding significant financial savings, and a reducing impact on the environment. Once the project is complete, it is expected to achieve a 9-to-1 consolidation of servers which will result in monetary and contract efficiencies.

Department of Education

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Department of Education (ED) Information Technology Strategic Plan is located at: <http://www.ed.gov/about/reports/annual/ocio/irmstratplan2010.doc>.

The ED Enterprise Architecture Transition Plan is located at: <http://www.ed.gov/about/reports/annual/ocio/ea-plan.doc>.

Information Dissemination Management to the Public

- ED's primary vehicle for disseminating information to the public is located at: <http://www.ed.gov/>.
- ED's inventory of website content is located at: <http://www.ed.gov/notices/egovinventory.html>.
- ED's one-stop system for ordering its publications is located at: <http://edpubs.ed.gov/>,
 - An array of e-newsletters located at: <http://www.ed.gov/news/newsletters/index.html>
 - A RSS feed located at: <http://www.ed.gov/news/newsletters/rssnewsfeed.html>.

- A complete list of the agency’s social media pages, feeds, and channels is located at: <http://www.ed.gov/about/overview/focus/social-media.html>.

Improved Performance in Support of Agency Objectives and Strategic Goals

The ED annual plans and performance reports are located at:

<http://www.ed.gov/about/reports/annual/index.html>.

Freedom of Information Act (FOIA) Compliance

- ED’s primary FOIA website is located at: <http://www.ed.gov/policy/gen/leg/foia/foiatoc.html>.
- The ED FOIA handbook is located at: <http://www.ed.gov/policy/gen/leg/foia/foiatoc.html>.
- Documents that are frequently requested by the public under FOIA are located at: http://www.ed.gov/policy/gen/leg/foia/readingroom_2.html.
- ED provides information to assist requesters to “make a FOIA request.” The web address for “How to Make a Request” is: <http://www.ed.gov/policy/gen/leg/foia/request.html>.

Dissemination of Federal Research and Development (R&D) Funding to the Public

The ED public website to disseminate research and development information to the public is located at:

<http://www.ed.gov/rschstat/landing.jhtml>. The main ED organization that supports ED research and statistics is the Institute of Education Sciences with their website is located at: <http://ies.ed.gov/>.

Dissemination of Formal Agency Agreements with External Entities to the Public

In addition to ED’s main sources of information for the public which include <http://www.ed.gov>, <http://ies.ed.gov>, and <http://studentaid.ed.gov/>, ED has contracted for the following to complement its information dissemination program:

- EDPubs and FSAPubs are intended to help customers identify and order department products. All publications are provided at no cost to the general public by the Department: <http://edpubs.ed.gov/webstore/Content/search.asp> and <http://www.fsapubs.gov/>.
- The Education Resources Information Center (ERIC) provides free access to more than 1.2M bibliographic records of journal articles and other education-related materials and, if available, includes links to full text: <http://eric.ed.gov/>.
- What Works Clearinghouse provides educators, policymakers, researchers, and the public with a central and trusted source of scientific evidence of what works in education: <http://ies.ed.gov/ncee/wwc/>.
- Doing What Works provides effective teaching practices and examples of possible ways to implement them. These practices have been found to be effective by the Department’s Institute of Education Sciences and similar organizations: <http://dww.ed.gov/>.
- *College.gov* aims to motivate students with inspirational stories and information about planning, preparing and paying for college: <http://www.college.gov/>.
- *Teach.gov* was launched in September 2010 to support a national campaign aimed at increasing the number, quality, and diversity of people seeking to become teachers: <http://www.teach.gov/>.

ED has the following cooperative agreements:

- *Students.gov* is an official Federal Government website designed for college students and their families. Its mission is to provide students and their families with easy access to information and resources from the Federal Government: <http://www.students.gov/STUGOVWebApp/Public>.

- Federal Resources for Educational Excellence (FREE) makes it easier to find teaching and learning resources from the Federal Government. More than 1,500 federally supported teaching and learning resources are included from dozens of Federal agencies. New sites are added regularly: <http://free.ed.gov>.
- *Opportunity.gov* is a partnership with the Department of Labor to highlight education and training opportunities for unemployed Americans: <http://federalstudentaid.ed.gov/opportunity/questions.html>.

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

ED's Comprehensive Records Disposition Schedule is located at:

<http://www2.ed.gov/about/offices/list/om/recordsmgmt.html>

Of the 115 electronic information systems containing Federal records, all but two are covered by a NARA-approved or NARA-submitted records retention schedule. Schedules for the remaining systems will be completed in FY11.

Implementation of Electronic Signatures for Interoperability

ED created the Identity Management Integrated Project Team, which is made up of stakeholders from principal offices with a common interest in identity management. The formation of this team ensures that all necessary stakeholders have input toward the creation, development, and implementation of identity management projects. The team also serves as a forum for the discussion and resolution of identity management issues across the enterprise.

ED has developed a working relationship with the GSA-sponsored Identity, Credentials, and Access Management (ICAM) organization. ICAM is a sub-committee under the Federal CIO Council that addresses identity management issues and sets Federal standards. In conjunction with ICAM efforts, ED is currently addressing compatibility issues in transferring digitally signed documents between the Department and the Office of the Federal Register.

ED also has representation on the ICAM Logical Access Working Group. This group is responsible for setting Federal policy and addressing Government-wide issues in the area of logical access. Participation with this group informs the Department about ongoing issues, their resolution, and the establishment of Federal policies and procedures.

Electronic Means of Enhancing Public Participation in Government

ED continues to seek greater and more useful public participation in ED's rulemaking activities through the use of transparent and interactive rulemaking procedures and new technologies. To facilitate the public's involvement in ED's rulemaking process, the Department participates in *Regulations.gov* (<http://www.regulations.gov>), an electronic, single, and Government-wide access point. *Regulations.gov* enables the public to submit comments on different types of Federal regulatory documents and to read and respond to comments submitted by other members of the public during the public comment period. *Regulations.gov* improves the public's access to and participation in rulemaking by providing one central electronic location to search, retrieve, and read all Federal regulatory material. Through this site, the public can view a description of regulations currently open for comment, read the full text of these documents and any supporting regulatory documents, and submit comments to the appropriate Federal agency. ED accepts public comments on all of its proposed and interim final regulations, as well as a limited number of other regulatory documents requesting public comment, through *Regulations.gov*. The Department expects to expand its use of the system to include an increased number of regulatory documents in the future.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

The enterprise architecture segment modernization process links the line of business performance goals, objectives and measures to ED's strategic plan goals and objectives. Segment modernization plans describe how each line of business will use IT investments to improve performance and provide services to stakeholders using IT. The segment modernization plans are reviewed, evaluated, and prioritized for funding by ED's Planning and Investment Review Working Group based on the investment's alignment to strategic goals, implementation risk, and ability to close performance gaps and eliminate redundancies within the IT portfolio.

Reducing Errors through Electronic Submissions

The *EDFacts* initiative has significantly reduced the reporting burden for state and local data producers, and has streamlined data collection, analysis, and reporting functions at the Federal, state, and local levels. *EDFacts* is a department initiative to collect, analyze, report on, and promote the use of high-quality, kindergarten through grade 12 (K–12) performance data. The Department uses this data for education planning, policy making, and management and budget decision making to improve outcomes for students. *EDFacts* centralizes data on state education agencies (SEAs), local education agencies and schools, and provides users with the ability to easily analyze and report on submitted data.

SEAs provide *EDFacts* data to the Department using an electronic system that facilitates the efficient and timely transmission of data. *EDFacts* incorporates business rules in the form of edits that provide a tiered set of errors and warnings to ensure the integrity of the data when it is submitted electronically to the agency. SEAs have been required to submit data through *EDFacts* since the 2008-2009 school year to meet federally mandated program data requirements and to support the *Government Performance and Results Act*, among other requirements. For example, the Consolidated State Performance Report (CSPR) includes data from SEAs that track progress in implementing the Elementary and Secondary Education Act. The CSPR data include information on adequate yearly progress, state performance assessments, highly qualified teachers, and supplemental educational services options.

Over the past few years the presence of the *EDFacts* Data Warehouse (EDW) has enabled the Department to take several key steps that reduce or remove errors when the data is utilized for other initiatives. The recently launched ED Data Express publishes a significant amount of data from the CSPR. These data are stored in the EDW as they become finalized by program offices. When ED Data Express was launched, queries were executed directly to the warehouse to ensure that an electronic file was generated. This ensured that *EDFacts* was the only source for ED Data Express for any item that originated within CSPR. For Version 2 of ED Data Express, the Department is implementing a web service to connect ED Data Express's public database servers and the *EDFacts* internal databases.

In addition, a web service is in place between the *EDFacts* collection systems and the servers that hold the raw data for the Common Core of Data (CCD) published by the National Center for Education Statistics. As states submit data to *EDFacts*, it is stored not only within the *EDFacts* system, but also within CCD systems. An update in *EDFacts* results in an automated update within the CCD systems. This linkage has provided the CCD team with quick access to the most recent data from SEAs.

Efforts to Comply with Section 508 Regarding Information Management

ED has made a commitment to support its obligation under Sections 504 and 508 of the Rehabilitation Act of 1973, as amended, to ensure the accessibility of its programs and activities to individuals with disabilities. ED's Assistive Technology Program provides assistive technology solutions to disabled

employees and also ensures that the agency's electronic and information systems are accessible to employees and members of the public with disabilities.

ED adheres to Requirements for Accessible Electronic and Information Technology (E&IT) Design (<http://www.ed.gov/fund/contract/apply/clibrary/software.html>), which address the accessibility needs that must be considered when designing and developing E&IT for the Department, and the guide Testing for Web Accessibility Compliance Under Section 508 of the Rehabilitation Act of 1973 (<http://www.ed.gov/policy/gen/guid/assisttesting.html>), which provides concrete instructions for implementing the accessibility requirements.

Quantifying Cost Savings Achieved through Implementation of IT Programs

The enterprise architecture segment modernization planning process has enabled line of business segment owners to increase the amount of development, modernization and enhancement funding across the IT portfolio from \$31.1M (4 percent of total IT spending) in FY10 to \$57.12M (14 percent of total IT spending) in FY11. The impact of these adjustments is that the Department has increased its spending for performance-improving IT innovations by \$26.02M. An example of the types of portfolio adjustments that the segment modernization planning process has enabled can be found in the IT infrastructure segment. By opting to reuse an existing document/records management solution to support the Department's requirement for these services, the agency is able to avoid a projected \$300,000 per year cost for licensing and hosting over the next seven years.

Department of Energy

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Department of Energy (Energy) Information Technology Strategic Plan is located at: http://www.cio.energy.gov/documents/Energy_IRM_Strategic_Plan2009-2011.pdf.

The Energy Enterprise Architecture Transition Plan is located at: <http://www.cio.energy.gov/enterprise-architecture.htm>.

Information Dissemination Management to the Public

The Energy Open Government priorities and schedules can be found in the Energy Open Government Plan at: <http://www.energy.gov/open>. The Energy information dissemination materials and other management tools are posted to:

- <http://www.energy.gov/webpolicies.htm>
- <http://cio.energy.gov/publications/web.htm>
- http://cio.energy.gov/policy-guidance/federal_regulations.htm
- <http://cio.energy.gov/policy-guidance/guidance.htm>
- http://cio.energy.gov/policy-guidance/omb_requirements.htm
- <http://www.osti.gov>
- http://management.energy.gov/foia_pa.htm

Improved Performance in Support of Agency Objectives and Strategic Goals

The Annual Performance Report (APR) provides detailed performance information related to the Energy's suite of performance metrics and a description of the annual result for each measure. It is located at: <http://www.energy.gov/about/budget.htm>.

Freedom of Information Act (FOIA) Compliance

The Energy FOIA information is located at:

http://management.energy.gov/foia_pa.htm and http://management.energy.gov/FOIA/freq_req_docs.htm.

Dissemination of Federal Research and Development (R&D) Funding to the Public

The Energy public website to disseminate R&D information to the public is located at:

<http://www.osti.gov>. Several of the resources available are identified as “high value” data sets by the Department and make Energy R&D results more transparent. They include:

- A single-query portal to a range of Energy R&D databases maintained by the Office of Scientific and Technical Information is located at: <http://www.scienceaccelerator.gov/>.
- An Energy Citations Database is located at: <http://www.osti.gov/energycitations>.
- An Information Bridge is located at: <http://www.osti.gov/bridge>.
- The Energy R&D Project Summaries are located at: <http://www.osti.gov/rdprojects>.
- An interagency portal providing single-query access to R&D results of 14 Federal agencies governed by a voluntary collaboration of 18 Federal Government science organizations, which enables the public, science professionals, students, educators, and the business community to find authoritative government science information without having to know which Federal agency holds that information, is located at: <http://www.science.gov>.

Dissemination of Formal Agency Agreements with External Entities to the Public

The Energy inventory describing formal agency agreements with external entities is located at:

<http://www.osti.gov/alliances>.

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

The Energy website that contains the publicly-posted records schedules is located at:

<http://www.cio.energy.gov/records-management/disposition.htm>.

Energy has implemented NARA Bulletin 2006-02, and NARA has approved records schedules for all Energy electronic information systems with one exception. Energy submitted a schedule to NARA for the remaining system in FY09 and NARA's approval is pending. Energy did not submit any schedules for electronic systems to NARA in FY10.

Implementation of Electronic Signatures for Interoperability

Energy has implemented the use of electronic signatures allowing department officials to sign documents and carry out business transactions electronically. The use of electronic signatures provides assurance that the authors and signatories of e-mails and/or electronic files are who they claim to be and provide significant advantages, such as improved security and streamlining of business activities.

Energy's Strategic Integrated Procurement Enterprise System (STRIPES) is a web-based IT system used for awarding and administering the Department's acquisition and financial assistance instruments. STRIPES utilizes an electronic signature methodology, therefore a manual signature is not required on STRIPES award documents. All required pre- and post-award contract and financial assistance documentation are maintained in electronic form, reside in STRIPES, and are considered the official contract file, except for any documents required by regulation to be maintained in paper copy. Official actions submitted and awarded prior to the deployment of STRIPES are not stored in STRIPES, but maintained in a paper contract file.

Electronic Means of Enhancing Public Participation in Government

Energy participates in the E-Rulemaking initiative (<http://www.regulations.gov>) which provides citizens a one-stop Internet site to easily access and participate in Federal rulemaking activities. Citizens can access Federal regulations on the Internet, and search, view, and comment on Energy proposed rulemakings.

Energy also uses the Federal Docket Management System (FDMS), a Government-wide electronic docket management system, in its regulatory business activities.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

Energy's performance goals are linked to key stakeholders, private sector, other agencies, and internal operations in the Energy Strategic Plan and Annual Performance Report. These documents are available for review by the public and are located at: <http://www.cfo.doe.gov/strategicplan/strategicplan.htm> and <http://www.energy.gov/about/budget.htm>.

Reducing Errors through Electronic Submissions

Energy's approach to error reduction through electronic submission is based on the adoption and use of Government-wide applications designed to support a variety of administrative and mission processes. One example of this approach is the use of Electronic Questionnaires for Investigations Processing (e-QIP) for security investigation processing. e-QIP is a secure, web-based, automated system which facilitates the processing of the investigative standard forms approved by the Office of Personnel Management (OPM) and the Office of Management and Budget (OMB). The investigation is based on the information that the applicant enters into the e-QIP system. e-QIP provides a convenient electronic form for entering, editing, and submitting the investigative form data. The applicant is asked to validate information screen-by-screen before submitting the data.

Optimizing the e-QIP submission process reduces the time required to initiate investigations and thereby provides benefit with the timeliness of the end-to-end process from initiating the requests to the time that managers are able to put people to work. OMB's designated goal relating to the rejection rate for e-QIP submissions is 5 percent or less. Energy has consistently remained at 1 percent over the past year.

Additionally, as a result of e-delivery of OPM background investigation case files, Energy is experiencing a decrease in total clearance processing time and a reduction in the loss of background investigation case files due to mailing and shipping errors.

Efforts to Comply with Section 508 Regarding Information Management

The Office of the Chief Information Officer (OCIO) is responsible for promoting and providing Information Technology (IT) Services Energy-wide to persons regardless of disability, and providing Section 508 Compliance Assistance and Guidance where appropriate.

To date, the OCIO has established a designated Agency Overall Section 508 Coordinator responsible for providing a lead role in responding to ad hoc Section 508 requests and in establishing overall 508 Program implementation strategy. Recent efforts in bringing IT Field Sites and Headquarters under one Energy Standard Operating Desktop System will enhance efforts necessary in establishing full Section 508 Compliance.

Though Energy has experienced success, there have been challenges including enhancing current policy, establishing Energy-specific 508 guidance, and establishing agreed and necessary funding. In an effort to meet this requirement, Energy must work closely with the established Section 508 Charter Working

Group responsible for working with Headquarters and Field Site IT Management in meeting what is anticipated to be a larger-scale effort necessary in ensuring full compliance.

Quantifying Cost Savings Achieved through Implementation of IT Programs

As a result of the Office of the Chief Information Officer's A-76 implementation, the IT Operations Program has experienced roughly \$160M in cost savings/avoidance from inception in FY06 through FY09. As of December 31, 2009, the projected cost to perform IT functions over the four-year period prior to A-76 implementation was in excess of \$621M. Actual costs incurred were less than \$329M.

Department of Homeland Security

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Department of Homeland Security (DHS) Information Technology Strategic Plan is located at: http://www.dhs.gov/xlibrary/assets/cio_infotech_strategic_plan_2009-2013.pdf.

The DHS Enterprise Architecture Transition Plan is located at: http://www.dhs.gov/xlibrary/assets/qhsr_report.pdf.

The DHS Strategic Plan is available at: <http://www.dhs.gov/xabout/strategicplan>.

Information Dissemination Management to the Public

The following section outlines determinations, priorities and timeline information for each E-Gov Initiative. In addition, the Initiative websites that are used to disseminate data to the public are listed below (where applicable):

- Disaster Management: <http://www.fema.gov/about/programs/disastermanagement/>
- Disaster Assistance Improvement Plan: http://www.disasterassistance.gov/daip_en.portal
- Information Systems Security Line of Business (LoB)
- International Trade Data System: <http://www.itds.gov/>
- SAFECOM: <http://www.safecomprogram.gov/SAFECOM/>
- Enterprise Human Resource Integration (EHRI): <http://www.opm.gov/egov/e-gov/EHRI/>
- E-Rulemaking: <http://www.regulations.gov/search/Regs/home.html#home>
- E-Training: <http://www.golearn.gov/>
- E-Travel
- *GovBenefits.gov*: http://www.govbenefits.gov/govbenefits_en.portal
- *Grants.gov*: <http://www.grants.gov/>
- Integrated Acquisition Environment (IAE)-Loans and Grants: https://www.acquisition.gov/vision_goals.asp
- Integrated Acquisition Environment: https://www.acquisition.gov/vision_goals.asp
- Budget Formulation and Execution LoB
- Financial Management (FM) LoB
- Geospatial LoB: <http://gos2.geodata.gov/wps/portal/gos>
- Grants Management (GM) LoB: <http://www.hud.gov/offices/adm/grants/lineofbusns/grantslob.cfm>
- Human Resources (HR) Management LoB: http://www.opm.gov/egov/HR_LOB/index.asp

Improved Performance in Support of Agency Objectives and Strategic Goals

DHS has been working diligently to improve outcome-oriented performance measurement at both the Enterprise and individual IT program levels.

Enterprise Performance: DHS successfully met performance targets for its Information Technology Government Performance and Results Act (GPRA) performance measures for FY10. The two measures DHS reports annually are the percent of major IT systems with full Federal Information Security Management Act (FISMA) Compliance, and the percent of IT investments currently aligned to the Department's Enterprise Architecture (EA). DHS set performance targets at 92 percent and 50 percent respectively and achieved the targets as of the end of the fiscal year. The targets were achieved by proactively working with Components to ensure their IT programs were in alignment with FISMA and EA requirements. By achieving these performance targets, the Department is well on its way to improving its Cybersecurity posture and maturing the EA.

DHS continues to work to develop additional Enterprise-level performance measures that track performance against the DHS Chief Information Officer's (CIO) strategic goals and objectives for information technology. In FY11, the Department will develop and implement measures to track the performance of the DHS Office of the CIO (OCIO) in providing services that support the following core DHS IT strategic goals and objectives:

- Establish secure IT services and capabilities to protect the Homeland and enhance our Nation's preparedness, mitigation, and recovery capabilities.
- Strengthen and unify the Department's ability to share information and services internally and with Federal, State, local, tribal, international and private industry partners.
- Improve transparency, accountability, and efficiencies of services and programs through effective governance of cross-departmental IT portfolios.
- Develop and implement a comprehensive approach to IT employee recruitment, development, retention and recognition to ensure excellence in IT delivery across the Department.

Major IT Program Performance: DHS continues to provide monthly updates on DHS major IT programs reported on the Federal IT Dashboard. Through the IT Dashboard, DHS shares up-to-date investment, planning, and performance information for the existing 94 major IT programs across all components of DHS. These updates can be found at: <http://it.USAspending.gov/>. The IT Dashboard tracks the cost and schedule performance of each DHS major IT program, as well as the CIO's overall assessment of the program and its performance. The IT Dashboard assigns ratings of red, yellow, or green to these individual categories and to the overall investment. As of the end of FY10, of the 94 Major IT Programs, the cost, schedule, CIO rating, and overall investment scores were as follows:

Rating Category	Green		Yellow		Red	
	Number of investments	Percent of total	Number of investments	Percent of total	Number of investments	Percent of total
Cost	59	63%	17	18%	18	19%
Schedule	71	75%	14	15%	9	10%
CIO Rating	46	49%	35	37%	13	14%
Total Overall Rating	32	34%	46	49%	16	17%

DHS provides monthly updates on the cost and schedule for programs to provide current information on program performance in the IT Dashboard. This ensures the Department has routine and timely information to facilitate the ongoing evaluation of program performance across the Enterprise.

The Department's IT Dashboard reporting ensures that the public has insight into the performance of major IT investments and holds DHS more accountable for the success of these investments. Across the 94 Major IT Programs reported on the IT Dashboard, DHS is tracking and reporting annually on over 500 performance measures. DHS will continue to provide timely updates to the IT Dashboard and will work collaboratively with other agencies to identify ways to improve and enhance the effectiveness of the IT Dashboard in tracking program performance.

In FY10, the DHS CIO conducted program reviews for 81 Major IT Programs across DHS, evaluating scope, schedule, budget, risk, and other key program management issues. The DHS CIO also led eight IT Portfolio Reviews covering 97 major IT programs in July 2010, with the objective of identifying ways to improve the effectiveness of IT resource allocation. As a result of the program and portfolio reviews, the DHS CIO identified a handful of programs considered high risk. OMB further identified three of those DHS programs as "high priority" programs requiring dedicated attention from and coordination with OMB to seek improvement. Those three programs are:

- DHS's Homeland Security Information Network (HSIN)
- Customs and Border Protection's (CBP) Automated Commercial Environment/ International Trade Data System (ACE/ITDS)
- Federal Emergency Management Agency's (FEMA) National Flood Insurance Program Information Technology Systems & Services (NFIP ITSS)

DHS has developed improvement plans and is working closely with OMB to ensure the successful implementation and ongoing improvement in the management and performance of these programs. Throughout the 81 program reviews, the DHS OCIO identified a number of specific action items and improvement steps for programs to undertake to resolve program management and performance issues. As of the end of FY10, the DHS OCIO continues to work closely with all of those programs to complete the requested action items and improvements.

To further ensure ongoing program performance oversight and improvements, the DHS CIO is developing a portfolio and program governance framework. The cornerstone of the program governance framework is establishing Program Executive Steering Committees (ESCs) for those programs in need of more focused executive guidance and oversight. As of the end of FY10, DHS has established ESCs for the following major IT programs:

- U.S. Secret Service Information Integration and Transformation (IIT)
- FEMA National Flood Insurance Program Information Technology Systems and Services (NFIP ITSS)
- DHS Transformation and Systems Consolidation (TASC)
- DHS is also in the process of establishing ESCs for additional programs, including:
- DHS Identity Control and Access Management (ICAM)
- DHS Human Resources Information Technology (HRIT)
- DHS Grants Management Integrated Environment (GMIE)

In FY11, in addition to building on the program governance work of the ESCs, DHS will establish portfolios to oversee related investments representing the major capability areas required to support mission area strategic goals, priorities and objectives. A key element of establishing these portfolios will be developing portfolio performance objectives aligned to the DHS mission, and performance measures to track the progress of the portfolios in achieving those objectives. As DHS begins establishing portfolio

governing boards in FY11, those boards will oversee the development of the portfolio performance objectives and measures.

E-Gov Initiative Performance Results: While the final FY10 results for program performance measures are not yet available, the FY09 performance data for those E-Gov initiatives reporting performance measures is as follows:

Measure	Baseline	FY09 Target	FY09 Result
Disaster Management E-Gov Initiative			
# of disaster situations and training exercises where DMIS is used	483	543	1109
# of registered users in <i>Disasterhelp.gov</i>	89,077	94,867	N/A (transitioned to HSIN)
# of first responders trained on DMIS	5,176	5,676	5,430
# of total standards recognized	40	44	19
% availability of <i>Disasterhelp.gov</i>	99.5%	99.5%	100%
# of organizations linked to <i>Disasterhelp.gov</i>	32	32	32
Disaster Assistance Improvement Plan			
% of users accessing <i>Disasterassistance.gov</i> directly rather than linking through another website	12.5%	25%	49.7%
Customer satisfaction with the ease, timeliness and simplicity in applying for assistance and following up on status as measured in follow-up surveys conducted by FEMA national processing service centers.	92%	93%	98% (satisfactory or better)
Average number of transactions users started with other interfacing agency systems per registration	1.0	1.25	1.52
% system operational (up time) not including scheduled downtime for maintenance	98%	99.9%	97.2%
Automated Commercial Environment/ International Trade Data System (ACE/ITDS)			
% of entry summaries for which no further trade activity is required (as measured by entry summary bypass)	93%	94%	N/A
% of system-generated cargo security risk mitigated	50%	57.2%	N/A
% of system-generated high risk cargo security targets	60%	67.2%	N/A
Total number of linked electronic sources from CBP and other government agencies for targeting information	19	22	N/A
% of total duties and fees paid by periodic monthly statement	46%	50%	N/A
% of CBP population using ACE to manage trade information	40%	63%	N/A
Information System Security Line of Business (LoB)			
% of scorecard agencies using security awareness training solutions as provided by Security Service Centers (SSC)	10%	96%	85%
% of scorecard agencies using Federal Information Security Management Act (FISMA) reporting solutions as provided by SSCs.	15%	96%	61%
% of Federal workforce receiving training from SSCs meeting ISS LoB requirements for effective annual security awareness training (training tier 1)	60%	99%	68%
% of Federal scorecard agencies workforce receiving training from ISS LoB tier 1 security awareness training SSCs	60%	99%	96%

Measure	Baseline	FY09 Target	FY09 Result
% of Federal systems participating in FISMA reporting services from SSCs meeting ISS LoB requirements for effective FISMA reporting (FISMA tier 1)	47%	99%	N/A
Number of scorecard agencies utilizing ISS LoB tier 1 training SSCs	3	26	22
Number of scorecard agencies utilizing ISS LoB tier 1 FISMA reporting SSCs	4	26	16
% of users indicating positive satisfaction with ISS LoB SSC tier 1 security training	0%	0%	71%
% of users indicating positive satisfaction with ISS LoB SSC FISMA reporting	0%	0%	67%

Freedom of Information Act (FOIA) Compliance

- DHS's primary FOIA website is located at: http://www.dhs.gov/xfoia/editorial_0579.shtm.
- Documents that are frequently requested by the public under FOIA are located at: http://www.dhs.gov/xfoia/editorial_0424.shtm#1.

Dissemination of Federal Research and Development (R&D) Funding to the Public

The DHS public facing website to disseminate R&D information to the public is located at: <http://www.safecomprogram.gov>.

Dissemination of Formal Agency Agreements with External Entities to the Public

DHS enters into formal agency agreements with the following Federal Departments and Agencies for the purposes of E-Gov initiatives: Small Business Administration (SBA), General Services Administration (GSA), Environmental Protection Agency (EPA), Office of Personnel Management (OPM), Department of Health and Human Services (HHS), Department of Interior (Interior), Department of Labor (Labor), Department of Education (ED), and National Science Foundation (NSF). For E-Gov initiatives where DHS is the managing partner, additional agreements exist with State and Local emergency management organizations and other private industry organizations.

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

As reflected in the Chief Acquisition Officer (CAO)/Records Management scorecard for the last quarter of FY09, the number of total systems and systems for which schedules have been submitted are provided below.

Agency/Component	Total Systems	Systems Scheduled
Department of Homeland Security (DHS)	83	63
Citizenship and Immigration Services (CIS)	32	27
Customs and Border Patrol (CBP)	28	28
Immigration and Customs Enforcement (ICE)	30	27
Federal Emergency Management Agency (FEMA)	55	0
Federal Law Enforcement Training Center (FLETC)	3	2
United States Secret Service (USSS)	66	60
United States Coast Guard (USCG)	70	51

Agency/Component	Total Systems	Systems Scheduled
Transportation Security Administration (TSA)	85	12

The following systems are either scheduled with NARA, at NARA pending registration, or are General Record Schedule (GRS) systems. All have been identified and schedules drafted:

Parent Office	System Name	Status
Citizenship and Immigration Services, Ombudsman	Office of the Citizenship & Immigration Services Ombudsman (CISOMB)	N1-563-08-1
Civil Rights and Civil Liberties	CRCL Entellitrack	N1-563-07-6
Executive Secretariat	Intranet Quorum (IQ) Correspondence and Document Management System	N1-563-07-1
Health Affairs, Office of	National Bio-surveillance Integration System (NBIS) 2.0	N1-563-08-18
Inspector General, Office of	Investigations Data Management System (IDMS)	N1-563-07-5
Intelligence and Analysis, Office of (I&A)	Domestic Terrorism/Ideologically Based Violence (DTx) Incident Database Homeland Security Intelligence Database (HSIDB) HSIN-Intelligence Portal Intelligence and Information Fusion (I2F) IWW 24 Hour Log Organizational Shared Space (OSS) Pantheon Pathfinder	N1-563-08-024 N1-563-07-11
Management	DHScovery Enterprise PRISM Instance (PRISM) Lenel's On Guard (Access Control System) Mail Management Business Intelligence Tool (MBIT) Personal Identity Verification Management System (PIV) Personal Security Activities Management System (PSAMS) Sunflower Asset Management System (SAMS) TrustedAgent FISMA (TAF) Web Time and Attendance System (webTA) Real Property Information System (RPIS) Fed Traveler FMS NCIC	N1-563-08-15
Management	DHS Foreign Access Management System (DFAMS) DHSAccessGate System	N1-563-09-001 N1-563-09-002
National Protection and Programs Directorate (NPPD)	Automated Biometric Identification System (IDENT)	N1-563-08-34
	Chemical Security Assessment Tool (CSAT)	N1-563-07-7

Parent Office	System Name	Status
	Communication Assets Survey and Mapping Tool (CASM)	N1-563-08-32
	Communications Asset Database (CAD)	N1-563-08-43
	Critical Infrastructure Warning Information Network (CWIN)	N1-563-07-8
	Critical Infrastructure/Key Resources (CI/KRs) Sector Clearance Program (SCP) Master Roster	
	Infrastructure Information Collection Program (IICP)	N1-563-08-14
	INSight	N1-563-08-27
	LENS (Linked Encrypted Network System)	N1-563-08-25
	Master Station Log (MSL)	N1-563-07-10
	National Capabilities Analysis Database (NCAD)	N1-563-08-26
	Priority Telecommunications Service (PTS)	N1-563-07-12
	Priority Telecommunications System (PTS)	N1-563-07-9
	Protected Critical Infrastructure Information Management System (PCIIMS)	N1-563-08-036
	Technical Reconciliation Analysis Classification System (TRACS)	N1-563-08-35
	Technology Assessment Network (TAN)	N1-563-08-42
	TRIPwire	N1-563-08-28
	USV-TechDoc	
Operations Coordination, Office of (OPS)	Homeland Security Information Network (HSIN)	N1-563-08-19
	National Operations Center (NOC) Senior Watch Officer (SWO)/Tracker Logs	N1-563-08-23
	Operations Directorate COOP/Personnel Database	N1-563-07-14
	Repeat and Disruptive Callers Database (RDCR)	N1-563-07-15
Science and Technology Directorate (S&T)	Access Commander	
	Protected Repository for the Defense of Infrastructure Against Cyber Threats (PREDICT)	N1-563-08-37
	SAFECOM Baseline Searchable Database System	N1-563-07-18
	SAFETY Act	N1-563-07-23
	Staffing Management System (SMS)	
	Standardized Policies & Procedures (SP2)	
	Technology Solutions	N1-563-07-21
Domestic Nuclear Detection Office	Joint Analysis Center Collaborative Information System (JACCIS)	N1-563-09-09

These systems are pending (not at NARA):

Parent Office	System Name
Domestic Nuclear Detection Office (DNDO)	DNDOBIDS/SBIR
National Protection and Programs Directorate	EINSTEIN

Parent Office	System Name
	EINSTEIN 2 MOE -Mission Operations Environment (24x7) US-VOICE
Policy, Office of	Performance Analysis System (PAS)

Implementation of Electronic Signatures for Interoperability

Currently, the Department issues digital certificates as “soft certificates” to enable digital signing and encryption of email and documents. Those certificates are made available to users on an as-needed basis. For example, the DHS Science and Technology (S&T) Directorate uses digital signatures extensively for securely communicating and transferring sensitive data within S&T (Employees and Contractors) as well as secure communications with the Department of Energy, Department of Defense, and the Government of Canada. Virtually all DHS employees and contractors will have a digital signing and encryption certificate as part of their credential due to the Homeland Security Presidential Directive – 12 (HSPD-12). This fact coupled with existing and recent enterprise software purchases will enable almost any users across the Department to more securely conduct interoperable, electronic transactions. Pilots are underway in multiple components and offices across the department, and the IT infrastructure to support an enterprise digital signature capability is a high-priority initiative.

Electronic Means of Enhancing Public Participation in Government

OMB Implementation Guidance for the E-Government Act of 2002 directed Federal Agencies to make their regulatory docket information accessible and searchable to the public using the *Regulations.gov* website, the public facing side of the Federal Docket Management System (FDMS). Through a customizable agency interface, FDMS provides DHS users with the ability to manage docket materials through the use of role-based access controls, workflow, and collaboration processes, creating/managing/revising content, comment management, and integrated commercial-off-the-shelf (COTS) scanning solutions. *Regulations.gov* serves as a trusted source of Federal information providing the public with easy one-stop access to all posted agency information. Since September 2007, all DHS rulemaking activities are posted through FDMS/*Regulations.gov*.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

One of the core performance goals of the DHS Office of the Chief Information Officer (OCIO) is “To establish secure IT services and capabilities to protect the Homeland and enhance our Nation’s preparedness, mitigation and recovery capabilities.” One of the ways the DHS OCIO tracks its ability to provide these services and capabilities to key stakeholders is through measuring performance via a performance measure of “Average Score on Customer Satisfaction Survey”. This measure tracks the ability of the DHS OCIO to meet customer needs, providing customers with needed IT infrastructure, applications, and services that promote a more efficient and effective operating environment in support of the DHS mission. One of the primary functions of the DHS OCIO is to develop and provide timely, reliable, and effective IT services to DHS Headquarters and Components. Customer satisfaction with the IT services the DHS OCIO provides is a critical measure for gauging the effectiveness of this core OCIO function.

The Customer Service Survey (CSS) results are produced from data collected through surveys issued to the S&T, I&A, NPPD, DNDO, and OPS customers by the DHS OCIO. On a weekly basis, the CSS Representative surveys at least 500 DHS OCIO customers and representative samples of their feedback on resolved IT services are compiled for reporting purposes.

The DHS OCIO is also undertaking efforts to develop new outcome-oriented performance measures in FY11 to measure information and services delivery through the use of IT in the areas of cybersecurity, service reuse, enterprise architecture, IT infrastructure, and program governance.

Reducing Errors through Electronic Submissions

DHS as a whole engages in 422 information collections from the public. Of these, there are 212 in which the information is submitted electronically. From an E-Government perspective, the best examples of these electronic submissions include *Grants.gov*, *GovBenefits.gov*, and *DisasterAssistance.gov*. Through these websites, applicants submit their requests for grants, benefits, and disaster assistance. This information feeds content management systems that route the applications for review and approval. The accuracy of the data in the applications is important in the award of the grant or benefit. More than just submitting a scanned image of a form, the individual fields completed on each application reduce errors when compared to hand-written or verbal submissions. This saves both time and administrative burden when reviewing and adjudicating the applications.

Efforts to Comply with Section 508 Regarding Information Management

The Officer for Civil Rights and Civil Liberties and the DHS CIO continue to collaborate to fully implement and enforce the provisions of Section 508 throughout the Department. The two offices worked in concert to establish a department-wide Section 508 program, run by the Office on Accessible Systems & Technology (OAST). OAST continues to be a catalyst for great progress in the Section 508 compliance area, performing periodic scanning of department systems. OAST operations and services include:

- *Accessibility Helpdesk*: OAST maintains a single point of contact for employees with accessibility needs or questions regarding 508 compliance.
- *Training*: OAST offers an extensive selection of hands-on, online, and customized training opportunities.
- *Document accessibility*: OAST personnel provide assistance to all DHS components, as well as various external audiences, in reviewing and remediating electronic document files, including forms, memorandums, informational pamphlets, flyers, and various reports.
- *Governance*: OAST governance and compliance activities include assessing performance of IT programs and organizations as well as managing accessibility risks through detailed process controls.
- *Application accessibility assessments*: OAST provides accessibility assessments, reviews and evaluations of commercial and government applications, including Web applications, for Section 508 compliance.

Examples of additional efforts throughout DHS include the IT Acquisition Review (ITAR), EA Center of Excellence, and Paperwork Reduction Act Program Management, in which 508 compliance is built into the IT governance and compliance process.

Quantifying Cost Savings Achieved through Implementation of IT Programs

The Disaster Assistance Improvement Program (DAIP) reports a total lifecycle cost avoidance of \$273.36M for FY07-FY14.

Department of Health and Human Services

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Department of Health and Human Services (HHS) Information Technology Strategic Plan is located at: http://www.hhs.gov/ocio/ea/documents/hhs_irm_strategic_plan_2007_2012.pdf.

The HHS Enterprise Architecture Transition Plan is located at:
http://www.hhs.gov/ocio/ea/documents/hhs_ent_trans_2009.pdf.

Information Dissemination Management to the Public

HHS's information dissemination materials and other management tools are located at:

- Web Communication & New Media (<http://www.hhs.gov/web/index.html>)
- HHS Web Policies (<http://www.hhs.gov/web/policies/webpolicies/index.html>)
- HHS Agency Newsrooms (<http://www.hhs.gov/aspa/newsrooms/index.html>)
- Assistant Secretary for Planning and Evaluation Policy Information Center (<http://aspe.hhs.gov/pic/>)
- Recovery Act (<http://www.hhs.gov/recovery/>)
- HHS Agency Financial Reports (<http://www.hhs.gov/afr/>)
- FY11 President's Budget for HHS (<http://www.hhs.gov/asrt/ob/docbudget/index.html>)
- Regulations (<http://www.hhs.gov/policies/index.html>)

Improved Performance in Support of Agency Objectives and Strategic Goals

HHS is improving its performance by tracking performance measures that support agency objectives and strategic goals. During FY10, HHS developed a new Strategic Plan (published at <http://www.hhs.gov/secretary/about/priorities/priorities.html>) and each agency within the Department has linked all of the performance measures reported under the Government Performance and Results Act (GPRA) to the new HHS Strategic Plan framework.

In addition, the new HHS Strategic Plan includes a limited set of representative performance measures for each goal and objective. The Department is expanding its Program Performance Tracking System (PPTS) to produce a web-based display for each of these measures. The display will include performance data as well as narratives explaining the performance trends. The Department plans to release this new web display with the release of the President's Budget in early February 2011.

HHS is also closely monitoring its High Priority Performance Goals. The Priority Goals are part of a Government-wide initiative to track significant short-term priorities. The Department has nine Priority Goals ranging from food safety to early childhood education to preparedness. The Department continues to work to improve the new OMB-managed website for the High Priority Performance Goals, *goals.performance.gov*. The Department's leadership will also be engaging in quarterly reviews of the Priority Goals.

Freedom of Information Act (FOIA) Compliance

- HHS's primary FOIA website is located at: <http://www.hhs.gov/foia/>.
- The HHS FOIA handbook is located at: <http://www.hhs.gov/about/infoguid.html> - foia.
- Documents that are frequently requested by the public under FOIA are located at: <http://www.hhs.gov/foia/>.

Dissemination of Federal Research and Development (R&D) Funding to the Public

From the beginning, it was clear to the National Institutes of Health (NIH), and reinforced by the Communication staff at the HHS, that the real impact of the American Recovery and Reinvestment Act (Recovery Act) would be told in human stories: important research, impact on the lives of the public and the nurture of young scientists, as well as the creation or saving of both scientific and non-scientific jobs. NIH developed several strategies, beyond the usual standard efforts to publicize research results, to ensure

the public and concerned leaders would understand the “Stories of Discovery” that had occurred because of the unique Recovery Act opportunity. There are almost 500 postings to the site created to communicate about the Recovery Act progress: <http://recovery.nih.gov>.

On the site, developed by NIH’s Office of Communication and Public Liaison (OCPL), many different ways of appreciating the impact of the Recovery Act are included. The following sections put discoveries in context:

- Special opportunities for classroom teachers and science education in a new way for NIH, produced in collaboration with the Office of Science Policy: <http://report.nih.gov/recovery/investmentreports/>.
- A collection of the sites across NIH that provide institute-specific information, such as the National Cancer Institute (NCI) site: http://recovery.nih.gov/stories/science_new_ways.php.
- Areas that show the impact on young researchers: <http://www.cancer.gov/recovery>.
- OCPL collaborated with Office of Extramural Research (OER) to be sure that all the data available on individual grants, by district was available from the site. New Public Information Officer's site leads to increased information to the public from the universities about federally funded research (this is a working tool rather than a direct site): http://recovery.nih.gov/stories/asu_summerjobs.php.

This list of websites provides information to the public, along with an explanation of the type of information provided by each:

- The primary site was designed to be the site that was developed to be responsive to E-Gov Reporting: <http://report.nih.gov/>.
- *Research Matters* explains current findings in an accessible way each week: <http://www.nih.gov/researchmatters/>.
- *NIH: News in Health* is a monthly, on-line and in print, publication directed to community health centers, aging centers, public health environments in an easy-to-read format: <http://newsinhealth.nih.gov/>.
- NIH offers radio programs, vodcasts and podcasts used nationwide and includes Spanish Language programming: <http://www.nih.gov/news/radio/index.htm>.
- A variety of social media sites provide direct-to-the-public information. Lectures are available on a wide variety of scientific topics at NIH YouTube presence: <http://www.youtube.com/NIHOD>.
- Webcasts of many scientific and other lectures are available in an extraordinary archive: <http://videocast.nih.gov/>.
- The recently released biennial report is also available on line: <http://report.nih.gov/biennialreport/>.
- Current and archived news releases are available for the public as well as the press: <http://www.nih.gov/news/>.
- There is a centralized location for the wide range of social media sites that is constantly growing at NIH to reach the public directly: <http://www.nih.gov/Subscriptions.htm#social>.
- The Recovery Act website includes many consolidated resources for the public, some described in the opening paragraphs above: <http://recovery.nih.gov/>.

Dissemination of Formal Agency Agreements with External Entities to the Public

Data Integrity Board (Computer Matching Agreements): The HHS Data Integrity Board (the DIB or Board), established pursuant to the Computer Matching and Privacy Protection Act of 1988 (the Act), is required to oversee computer matching activities with the Department. The HHS DIB reviews ongoing

matching programs as required by the Act. HHS components shall develop and submit to the DIB all proposed Computer Matching Agreements (CMAs) for matches covered by the Act, regardless of whether the component is acting as the source agency or recipient agency for the match. Matching agreements shall include information specified in the HHS DIB Guidelines for Computer Matching Agreements. A computer matching agreement shall remain in effect for such period, not to exceed 18 months, as the DIB determines is appropriate. However, the DIB may renew the agreement for a period not to exceed 12 additional months if: (1) such program will be conducted without any change and (2) within three months prior to the expiration of the original agreement, each party to the agreement certifies to the Board in writing that the program has been conducted in compliance with the agreement.

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

The HHS website that contains the publicly-posted records schedules is located at:

<http://www.archives.gov/records-mgmt/racs/>.

Record schedule information is provided below:

HHS Operating Division	Total Number of E-Systems or Series	Total Number of Approved E-Systems or Series (S)	Total Number of E-Systems or Series Submitted to NARA and Pending Approval (P)	Total Number of Unscheduled E-Systems or Series (U)	Percentage of All E-Systems and Series Scheduled or Pending with NARA
Administration for Children and Families (ACF)	17	6	6	5	70%
Administration on Aging (AOA)	8	7	1	0	100%
Agency for Healthcare Research and Quality (AHRQ)	15	3	9	3	80%
Centers for Disease Control (CDC)	709	425	284	0	100%
Centers for Medicare and Medicaid Services (CMS)	248	136	110	2	99%
Food and Drug Administration (FDA)	133	120	12	1	99%
Offices of the Secretary (HHS OS)	90	80	6	4	95%
Health Resources and Services Administration (HRSA)	30	4	5	21	30%

HHS Operating Division	Total Number of E-Systems or Series	Total Number of Approved E-Systems or Series (S)	Total Number of E-Systems or Series Submitted to NARA and Pending Approval (P)	Total Number of Unscheduled E-Systems or Series (U)	Percentage of All E-Systems and Series Scheduled or Pending with NARA
Indian Health Service (IHS)	12	0	0	12	0%
National Institutes of Health (NIH)	336	121	215	0	100%
Substance Abuse and Mental Health Services Administration (SAMHSA)	8	2	5	1	88%
TOTAL	1,606	904	653	49	97%

E-Systems FY10 Information for OMB is provided below. Note that all Indian Health Service (IHS) records schedules submitted to NARA were withdrawn by NARA and will be resubmitted by IHS.

OPDIV	# of Systems on records schedules submitted to NARA in FY10	# of Systems on records schedules submitted to NARA in FY09 and prior	# of Systems requiring records schedules to be written
AOA	0	8	0
ACF	4	8	5
AHRQ	0	12	3
CDC	65	644	0
CMS	4	242	2
FDA	0	133	0
HRSA	5	4	21
IHS	0	12	12
NIH	0	336	0
HHS OS	3	83	4
SAMHSA	0	7	1
TOTAL	81	1,489	48

Implementation of Electronic Signatures for Interoperability

In conjunction with HHS's HSPD-12 program and the roll-out of Person Identity Verification (PIV) cards, HHS employees and contractors can leverage their personal certificates to sign electronic documents, sign and encrypt electronic mail, as well as securely access sites and systems across the government and HHS that have enabled certificate-based authentication. HHS utilizes the Public Key Infrastructure (PKI) Federal Bridge framework for electronic signature of electronic mail to enable the exchange of digitally signed messages and documents with any organization, Federal or private, whose certificate authority is cross certified with the Federal Bridge. The Federal Bridge provides a valuable

service which allows for broad interoperability relieving each agency from the burden of establishing individual legal and governance documents with each agency and/or external organization.

The NIH System for Enterprise Records and Correspondence Handling (SERCH) is a web-based system developed for NIH Executive Secretariat to leverage existing PKI infrastructure to electronically route controlled correspondence to all NIH Institutes and Centers and Offices of the Director, and for the managers in those offices to digitally sign response documents and return them electronically to NIH Executive Secretariat. Information on SERCH is available at <http://execsec.od.nih.gov/index.html>.

Indian Health Services (IHS) utilizes signed electronic records as a part of its Resource and Patient Management System (RPMS) Electronic Health Record (EHR). The Indian Health Service RPMS-EHR is a suite of software applications designed to improve quality of care and patient safety in IHS, Tribal, and urban facilities. It provides a graphical user interface (GUI) “front end” to the robust RPMS database, which permits improved access to important clinical information, direct entry of data by clinicians and other users, and clinical decision support tools at the point of care. RPMS-EHR utilizes electronic signature verification to transmit prescription-related information between prescriber, pharmacies, pharmacy benefit managers, or health plan, both directly and through the Surescripts e-prescribing network. IHS supports the implementation and integration of EHR in over 350 Federal, tribal, and urban hospitals and health centers across the contiguous United States and Alaska.

Electronic Means of Enhancing Public Participation in Government

Using electronic means, HHS has enhanced public participation in government by becoming a full partner in the Government-wide E-Rulemaking initiative. All HHS regulatory proposals routinely inform the public about how comments on the proposals can be submitted to the *Regulations.gov* website. In FY10, 236 such notices of proposed rulemaking provided the public with the opportunity for electronic submissions of comments, which the Department is legally required to take into account before moving to issue a final rule.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

HHS finalized the HHS Open Government Plan on June 25, 2010. One main objective of the plan is to make information more accessible to key stakeholders, private sector, other agencies, and internal operations.

On May 6, 2010, Secretary Sebelius announced HHS’s key strategic initiatives and key interagency collaborations going forward:

- Transformation of health care
- Implementation of the Recovery Act
- Promotion of early childhood health and development
- Prevention and reduction of tobacco use
- Protection of the health and safety of Americans in public health emergencies
- Acceleration of the process of scientific discovery to improve patient care
- Implementation of a 21st century food safety system
- Ensuring program integrity and responsible stewardship
- Reduction of teen and unintended pregnancy
- Supporting the National HIV/AIDS strategy
- Improving global health
- Fostering Open Government

Information on these initiatives and collaborations is located at:
<http://www.hhs.gov/secretary/about/secretarialstrategicinitiatives2010.pdf>.

The concept of Open Government is being incorporated into a draft HHS Strategic Plan 2010-2015. Once the new strategic plan's goals and objectives have been identified, they will inform proposals for new transparency, participation, and collaboration initiatives. Activities include:

- Adapt HHS's core strategic planning, IT planning, and budgeting processes to emphasize proactive data sharing.
- Establish a central location on the HHS intranet ("Open Government at HHS") in the third quarter of 2010 that enables employees to find relevant Open Government information (i.e., policies, standards, tools, training, etc.) easily. Publicize the availability of training and workshops provided by the Department, the General Services Administration, and other organizations on Open Government topics.
- Develop a "Participation and Collaboration Resource Menu" for HHS employees, formally launching in the fourth quarter of 2010, which will lay out methodologies, policies, tools, and best practices which can be used by employees seeking to engage the public and collaborate with others across and outside the government.
- Launch a "Participation and Collaboration Community of Practice," powered by an internal consulting outfit focused on Participation and Collaboration and launched in the second quarter of 2010 at HHS which will enable HHS innovators to network with each other, learn together, and share best practices on this key Open Government topic.
- Launch a new Secretary's Innovation Awards program in the second quarter of 2010, now officially underway, which will recognize and reward extraordinary achievements by employees who innovate how HHS operates in ways that advance HHS's mission.
- Engage in an HHS-wide Open Government communication plan, including Open Government "town hall" meetings across the Department, webinars, and publication of best practices.

How HHS Will Seek to Collaborate with Other Agencies on Open Government Efforts: It will continue to be vital to collaborate with other agencies in the advancement of Open Government across the government and HHS plans to do so in several ways:

- Continued leadership of and participation in the volunteer interagency workgroup on Open Government "leading practices".
- Sharing of the "Participation and Collaboration Resource Menu" that HHS will be developing with other agencies.
- Continued leadership of and support for an intergovernmental community of practice on "ideation tools" that can help agencies gather and process ideas from employees and the public. Currently, over 30 Federal agencies participate in this forum, which meets monthly and also communicates via an intergovernmental portal.
- Leadership of an "Open Government for Health" interagency group on how agencies can coordinate or integrate complementary data for public release.
- Sharing of all materials, results, tools, and training that could be transferable to other agencies with the Government-wide Open Government Steering Committee.

How HHS Will Work with the Public: HHS will release large waves of new data.

- Beginning in the third quarter of 2010, on HHS's Open Government website and through systematic dialogue with key stakeholder groups (overseen by the HHS Data Council), HHS will

solicit examples from the public of how HHS's data has been used to generate benefit. HHS will seek to compile at least 30 such examples (insights, applications, visualizations, etc.) by the end of 2010 for publication on its Open Government website. This will help HHS shape its future data release strategy on an ongoing basis.

- HHS will establish an online forum in the third quarter 2010 on its Open Government website that facilitates public discussion of barriers to innovation using its data (e.g., data format, lack of metadata, etc.). Through this forum and other channels, HHS will seek to gather a list of at least 10 such barriers for publication and discussion of next steps on its Open Government website by the end of 2010.
- HHS will initiate "HHS Apps Challenges," a public competition for the most innovative and beneficial applications built utilizing its data.
- Through the Community Health Data Initiative, HHS is pioneering an approach that seeks both to (1) make key HHS data available and easy to access by the public and (2) proactively encourage a growing array of innovators from the worlds of technology, business, academia, public health, and health care to engage with the data and turn it into applications that create significant and growing public benefit.
- The creation of a public-private "ecosystem" of data supply and use is the central objective of the initiative. HHS is proactively marketing HHS data on community health care, health, and health determinant indicators to innovators who can turn it into applications and programs that benefit the public. HHS is evangelizing energetically on behalf of the Initiative at conferences and other public forums and on the web, seeking to get many organizations and individuals outside HHS interested in participating in the Initiative's ecosystem. HHS is working closely with organizations such as the Institute of Medicine and Health 2.0 to hammer out how it can all facilitate the ecosystem's growth and development.
- Held the Community Health Data Forum in June 2010 (http://www.hhs.gov/open/datasets/initiative_launch.html). At this event, attended by 400 people in person and 300 people online, innovators demonstrated more than a dozen amazing applications that had been built or significantly improved using HHS data in less than 90 days, in response to an initial challenge issued by HHS in March.

HHS will foster public use of its data by publishing raw data, in addition to tools that help the public gain insight via the data. Exemplifying this approach are tools that have debuted with the launch of HHS's Open Government Plan and that are described in more detail in the next section: the Centers for Medicare and Medicaid Services (CMS) Dashboard, which allows users to easily visualize and investigate Medicare spending on hospital services; FDA Track, which allows users to see FDA performance across more than 90 FDA centers and, when fully implemented, will track over 300 performance measures and 80 key projects; and *Data.Medicare.gov*, which allows users to explore and socialize CMS quality and patient satisfaction data on hospitals, nursing homes, home health agencies, and other providers with flexibility and ease.

HHS has compiled a database of participation opportunities across HHS and published it on its Open Government website (<http://www.hhs.gov/open/getinvolved/index.html>) and engaged in the creation of a Participation and Collaboration internal consulting operation (launched in the second quarter of 2010) and Community of Practice that are working to identify best practices, develop a menu of tools that HHS staff can use to execute Participation and Collaboration initiatives (formally debuting in the fourth quarter of 2010), help implement beta applications of practices and tools, and disseminate lessons learned across HHS. One key policy deliverable from the Initiative (coming in the third quarter) is documentation of the core transparency/participation/collaboration "play" embodied by the Initiative, for general policy approval and replication across other dimensions of HHS and other government work.

Finally, HHS plans to continue to engage the public with following activities:

- Continuous, ongoing solicitation of comments on HHS's Open Government Plan, via HHS's Open Government website (currently live): <http://www.hhs.gov/open/>.
- Quarterly Open Government status reports to the public, published on HHS's Open Government website, and soliciting public feedback and comment. The first report will happen in the third quarter of 2010, reporting on progress in the second quarter. HHS commits to posting feedback on user comments 45 days after each quarterly report is issued, which will cover both user feedback on HHS's status report as well as general comments received on HHS's Open Government Plan since the last quarterly report.
- Periodic public webinars/conference calls introducing key Open Government ideas and initiatives, for solicitation of public comment.
- Posting of HHS's full 2010 HHS Strategic Plan, in which Open Government has been designated a key Secretarial priority, on HHS's Open Government website in July 2010 for public comment.

Transparency: Transparency and data sharing are of fundamental importance to HHS's ability to achieve the Department's strategic goals of advancing the health and well-being of the United States. HHS's vast stores of data are a remarkable national resource which can be utilized to help citizens understand what HHS does and hold them accountable, help the public hold the private sector accountable, increase awareness of health and human services issues, generate insights into how to improve health and well-being, mobilize public and private sector action and innovation to improve performance, and provide the basis for new products and services that can benefit the American people. In addition to its work with Open Government, HHS will communicate critical information about performance in several key areas through *Performance.gov*.

Reducing Errors through Electronic Submissions

The Office of Information Services (OIS) in the Administration for Children and Families (ACF) has been using a variety of automated tools for a number of years to reduce submission errors, increase reporting capabilities, streamline business processes, provide better service to citizens, and increase the integrity of reported information. As examples of the OIS long-term focus in these areas, the systems below are highlighted.

The On Line Data Collection (OLDC) system: OLDC is a flexible and powerful form-driven data validation and calculation engine designed to reduce errors through the use of electronic submissions via the internet. Since 2002, states, territories, and tribes have been using OLDC to edit, validate, submit, and route electronic submissions pertaining to program performance and expenditure data on grants issued to these entities.

Forms Support: Some forms defined to OLDC are agency-specific forms and others are OMB-approved standard forms, e.g. SF-269s (with validation edits to ensure the OMB approval has not expired for a particular form). Users of OLDC can control, manage, and delegate user access to their form submissions and respond to their reporting requirements when reports are due. Any type of paper-based form that can be entered using a standard Web Browser program can be defined to OLDC.

Reducing Errors: OLDC employs many of the customary features of a data-entry system but also expands that capability to further reduce errors and ambiguity with the following examples:

- Implementing submission protection features, such as defining validation and calculation rules specific to an individual form, configuring access to enter/review/certify/submit/approve form submissions, maintaining different versions of the forms controlled by effective dates and capturing multiple submissions, previewing the output of the form online in either PDF or HTML formats, and exporting the data collected on a given form receipt;
- Defining system checks for required fields, data types, field limits, calculated fields, rules validation, cross-form validation, and informational and calculated lookups, and;
- Implementing user aid features, such as online tutorials, error, and instructional help messages, dropdown fields, multiple choice selections, 508 compliance, and user practice capabilities in the training system environment.

Program Support: OLDC currently has an inventory of forms that are actively used in support of 75 Federal Government programs (66 mandatory grant programs and nine discretionary grant programs) where over 15,000 forms were submitted through OLDC during FY10 by over 4,800 users in almost 2,900 distinct grantee organizations. Prior to the implementation of OLDC, Government employees received hard-copy forms and manually entered all required information into the systems that needed this data. However, with the implementation of the web accessible OLDC system, two out of three forms are now submitted by grantees, resulting in a transfer of workload to personnel knowledgeable in specific programs. That ratio continues to improve with over 78 percent of the forms processed in September 2010 being submitted by grantee organizations rather than Federal Government employees. Also, having the grantees submit the data on-line ensures the data has been validated prior to review by the Federal staff.

The Enterprise Reporting System (ERS): ERS was implemented in 2005 with the intent to provide users with a facility to produce, at will, automated electronic reports that reflect accurate results and reduce reporting errors. Accuracy of data is ensured by pre-validation of report contents by both report developers and report users. Over 10,000 reports, including multiple runs for the same report, were processed in FY10. ERS reports are fully integrated with OLDC form submission data and the ACF grant processing systems. Output from reports can be produced in Excel and HTML formats based on an internal utility that can format the output at the time the report is produced. ERS has an inventory of 150 reports that can be selected and run by authorized users any time valid information is needed by that report user. Data are validated based on the requirements of each individual report including calculations based on data already residing in OIS systems.

The Temporary Assistance for Needy Families (TANF) program: Under TANF, a grantee (state or tribe) submits their data electronically to the NIH Mainframe and computer programs validate the data and save the error-free data into a database. These programs then create reports as a result of the data validation process. After receiving the reports, each grantee is required to fix any errors in their data and resubmit corrected data. Grantees can also submit the summary (aggregate and stratum) data to the TANF Data Reporting web system. Other programs immediately validate the submitted data and provide prompts for errors, if any are found.

The Administrative Simplification Act required providers to submit claims electronically to receive Medicare reimbursement. Through implementation of this Act and CMS's Electronic Data Interchange (EDI) policy, CMS has increased electronic claim submission. The Medicare savings resulting from this transmission method are estimated at \$84M to date (\$.75 savings per claim). Also, the entire healthcare industry has benefited since most of those providers now submitting electronic claims to Medicare are also now submitting them to private insurers. At this time, the Medicare program has over 99 percent electronic submission for Part A claims and over 96 percent for Part B claims.

Along with the increase in electronic claims submissions has come an increase in the efficiency of the edits applied to those claims. Front End Systems standard edits and error handling is an objective of the Health Insurance Portability and Accountability Act (HIPAA) EDI standard 5010/D.0 conversion initiative which is being implemented by CMS along with non-HIPAA EDI standards for error handling and acknowledgements. Within the next few years, this approach will be extended to capture electronic medical records/clinical information building upon the HIPAA EDI standards in the Medicare Administrative Contractor (MAC) Front End and use of ICD-10 diagnosis and procedural coding. The clinical information will be able to be attached to a claim or submitted separately for processing.

CMS is also “standardizing the standards” to improve their utility for providers. Remittance codes have been analyzed from each MAC’s system, situations identified where standard code values should have been used, and shared systems modified to standardize the code values. The outputs continue to be monitored to be certain the standard code values are used consistently. The expected and immediate benefits from this effort are reduced provider phone calls related to remittances and a related reduction in cost for the MAC Call Centers. An indirect benefit for the patient is a clearer indication when the provider may bill them. In some cases, the incorrect use of code values actually permitted providers to bill beneficiaries, inappropriately. While progress continues to be made, the cost savings to-date for this standardization activity have been estimated in the multi-millions of dollars.

The “better edited” data resulting from electronically submitted claims is then used by HHS’s statistical systems. CMS uses an Integrated Data Repository to provide government and research organizations better access to the edited data for their uses. The CMS Medicare Dashboard, which supports the Open Government Initiative, provides access to additional improved data to the public. Also, the data are used for detection of Medicare fraud and abuse through CMS’ Medicare Integrity Program Modernization – One PI System. The availability of these improved data ultimately leads to identifying best practices and improving the health of CMS’ beneficiaries, as well as others receiving health care in the United States.

Throughout FY10, CDC advanced its public health mission and contributed to reduction of errors in public health analysis, emergency response, and clinical care by increasing and improving standards-based electronic health information exchange among its partners in Federal, state, and local health, and in public and private healthcare.

CDC PHIN National Environmental Public Health Tracking Network (NEPHTN) developed and implemented a data validation portal as part of a detailed data validation process, so that environmental public health data from State Grantees and Federal Partners can be viewed and corrected before entry into production.

Efforts to Comply with Section 508 Regarding Information Management

The Office on Disability (OD), in partnership with the Office of the Assistant Secretary for Public Affairs (ASPA), convened a departmental working group to revise and update Section 508 policy in two critical areas: Roles & Responsibilities and Training. The goal is to better align resources with responsibilities, reflect reorganizations across the Department and enhance the role of ASPA Web Communications Division and the Office of the Chief Information Officer in Section 508 implementation and ongoing activities. OD anticipates policy changes in the forthcoming Access Board refresh of Section 508 regulations. The draft document on the revised Section 508 roles and responsibilities is currently in its second round of revision with a target date for finalization by the end of October. OD established a Memorandum of Understanding (MOU) with each of the HHS agencies via the joint funding activities to ensure financial contributions in support to Section 508 training. OD also established a specific MOU with ASPA allowing the use of these funds for the training provisions that will enhance 508 awareness across the Department. ASPA is responsible for providing these training. With the Section 508 Training

Subgroup, OD is developing a brief overview video on Section 508 awareness. Human Resources will have the video placed in the Office of the Secretary (OS) and the HHS Food and Drug Administration (FDA) new employee orientation. Inclusion in all other Operating Division (OPDIV) orientations will be recommended.

HHS released a policy and guidelines on Section 508 in 2005. These procedures were developed by HHS's Section 508 program team. There are Section 508 Officials, Coordinators, and other technical experts available for each HHS component (<http://www.hhs.gov/od/508coordinators>) to field technical assistance questions and share Section 508 information within HHS and across OPDIVs and OS. The HHS Tools website (<http://www.hhs.gov/web/tools/index.html>) includes contact information for the Accenture Digital Diagnostics compliance monitor that may be used to check a website's conformance for Section 508 technical standards.

HHS has created mandatory training for all managers and other Section 508 affected employees. The HHS Office on Disability is responsible for coordinating HHS activity regarding Section 508, and to provide technical assistance in implementation planning and activities.

The Department established a five year Section 508 Compliance and Remediation Plan calling for all content posted to the Department's websites to be accessible and all legacy content to be made accessible within the five year framework. The Department's Web Communications Division (WCD) manages and supports this plan. The Department has made a significant investment in the acquisition and implementation across the Department of a policy testing web crawler that crawls the entire 150M+ page Web inventory on a monthly basis checking, among other issues, Section 508 compliance. The WCD has written standards, produced and delivered numerous training modules to assist entities in creating 508-compliant files and sites, and contracted for technical assistance and remediation support. The provision of 508-complaint materials is required to be written into all departmental contracts providing web content and/or any outreach materials (on the valid assumption that all outreach materials will end up on the web) and has added language to senior manager's performance plans requiring adherence to Section 508 Compliance and Remediation Plan goals and timeline.

HHS has established an IT project framework known as the Enterprise Performance Life Cycle (EPLC). The EPLC framework includes a set of critical partners that conduct stage gate reviews of IT projects. HHS IT projects must pass stage gate requirements before moving to the next life cycle phase. Section 508 compliance is included in the stage gate reviews (<http://www.hhs.gov/ocio/eplc/index.html>).

Quantifying Cost Savings Achieved through Implementation of IT Programs

HHS and its OPDIVS recognize the importance of IT as a mission enabler in making HHS operations more efficient and effective. Below are representative IT investments providing cost avoidance benefits to other Federal agencies, states, and the public:

Federal Parent Locator System (FPLS): FPLS helps state child support agencies to collect child support money and pursue health care coverage, if appropriate, for 85 percent of poor children in single-parent households. For the past two Fiscal Years (FYs), FPLS has exceeded its target 75:1 Benefit-to-Cost Ratio of child support collections attributable to FPLS to IT dollars spent, as well as the amount of child support collections attributable to FPLS. While FY10 data are not yet available, FPLS is, again, on track to meet the targets for these two critical performance measures. For example, in FY09 FPLS achieved a Benefit-to-Cost Ratio of child support collections attributable to FPLS to IT dollars spent of 131:1 for FY09. FPLS helped collect \$26B in child support, including \$3.327B in Federal collections.

Next to custodial parent earnings, child support is the second largest income source for poor families. FPLS enables the HHS Office of Child Support Enforcement (OCSE) to fulfill its and state child support program missions and increase collections by facilitating communication and data exchanges with states, employers, multi-state financial institutions, insurers and other Federal agencies, and by using FPLS data to locate parents delinquent in child support payments. FPLS is composed of multiple components, including two that are critical: the National Directory of New Hires (NDNH), a database of employment data; and the Federal Case Registry of Child Support Orders (FCR), a database of child support cases and orders.

NDNH data matches resulted in national child support collections of about \$386M in FY09. In TY (Tax Year) 09, the FPLS Federal Offset Program collected \$2.2B. Additionally, FPLS eliminates barriers between government agencies and promotes data sharing collaboration to improve program efficiencies and customer service by providing a centralized source of employment and location data for authorized programs. In FY09, the Social Security Administration (SSA) reported benefits of NDNH matching of about \$186M in prevention of future overpayments and adjustments of incorrect payment amounts in the Supplemental Security Income program.

Additionally, FPLS eliminates barriers between government agencies & promotes data sharing collaboration to improve program efficiencies & customer service by providing a centralized source of employment & location data for authorized programs. In FY09, SSA reported benefits of NDNH matching of about \$186M in prevention of future overpayments & adjustments of incorrect payment amounts in the Supplemental Security Income program. In CY08, IRS used FCR & other data to recover over \$581M in additional taxes owed. In FY08, NDNH data helped the Department of Education recover \$1.3B in defaulted student loans. The Department of Housing and Urban Development (HUD) estimated the subsidy error in FY08 for HUD's rental housing assistance programs identified using NDNH data to be \$364M. In CY08, The Department of Labor (Labor) estimated benefits of NDNH & SDNH matching to be \$112M, including identification, recovery & prevention of Unemployment Insurance benefit overpayments.

Centers for Disease Control and Prevention (CDC) Public Health Information Network BioSense: CDC uses IT to strengthen the existing public health infrastructure while working with partners throughout the Nation and the world. An example of CDC's use of IT to achieve cost savings and avoidance is the Public Health Information Network BioSense (BioSense) investment, which provides an integrated system of nationwide public health surveillance for the early detection, prompt assessment, and impact tracking of potential bioterrorism-related illness and epidemic alerts, including seasonal influenza and pandemics, such as the H1N1. BioSense incorporates data from automated clinical information systems maintained by the Department of Veterans Affairs and Department of Defense. BioSense also electronically collects healthcare data directly from hospitals in priority cities, including in-depth clinical information from emergency department (ED) visits, outpatient visits, and hospitalizations, and from Local and State health departments. Currently there are 105 "direct reporting" hospitals and 8 health department syndromic surveillance systems represented in BioSense, comprising data from 587 hospitals (an average of 175,000 real-time messages per day) and supporting over 500 registered users. Data are also received daily from approximately 1,300 Department of Defense (DOD) and Department of Veterans Affairs (VA) hospitals and healthcare facilities. Microbiology tests and results are received from two of the nation's largest commercial laboratories, LabCorp and Quest Diagnostics. Near real-time outpatient retail anti-infective prescription data are received from a minimum of 30,000 pharmacies within the United States. For FY10, BioSense reduced the amount of time to update BioSense data for direct reporting hospitals from 2 to 4 days to no more than two hours from "time of visit" to "viewable in BioSense."

Substance Abuse and Mental Health Services Administration (SAMHSA): The National Survey on Drug Use and Health (NSDUH) is the principal source of statistical information on the use of legal and illegal drugs by the civilian, non-institutionalized population. NSDUH improved data collection and reporting efficiencies by using hand-held computers for household interviews, consistently yielding household interviews to over 67,500 annually.

Department of Housing and Urban Development

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Department of Housing and Urban Development (HUD) Information Technology Strategic Plan is located at:

<http://www.hud.gov/offices/cio/documents/itstratplan3.pdf>.

HUD's Enterprise Modernization Plan (Transition Strategy) is a business-driven plan that describes the current state and desired/future state for HUD's performance, business, applications and services, technology, data, and security architectures. It provides a set of practical business tools to guide HUD modernization and is supplemented by specific Business and IT modernization plans. Its structure mirrors HUD's target architecture and provides a sequence of milestones towards achieving the target architecture.

Information Dissemination Management to the Public

HUD's information dissemination products, catalogs, directories, inventories and other management tools are found on *HUD.gov* on the following web pages:

- Resources (<http://portal.hud.gov/portal/page/portal/HUD/resources>)
- Contact Us (<http://portal.hud.gov/portal/page/portal/HUD/contact>)
- HUD User (<http://www.huduser.org/portal/index.html>)

Improved Performance in Support of Agency Objectives and Strategic Goals

HUD is transitioning to a new performance management structure with the development of the FY11 Management Action Plan (MAP) and individual performance plans. The MAP is designed to identify cross cutting and programmatic targets and activities carried out through a place-based delivery system; focus on both program- and place-based decision making; guide the work activities of all HUD staff in headquarters and the field; and ensure that HUD achieves the Department's strategic goals and objectives.

Freedom of Information Act (FOIA) Compliance

- HUD's primary FOIA website is located at:
<http://www.hud.gov/offices/adm/hudclips/handbooks/ogch/13271/index.cfm>
- The HUD FOIA handbook is located at:
http://portal.hud.gov/portal/page/portal/HUD/program_offices/administration/foia
- Documents that are frequently requested by the public under FOIA are located at:
<http://www.hud.gov/offices/adm/foia/referencematerials.cfm>

Dissemination of Federal Research and Development (R&D) Funding to the Public

While the majority of HUD's research is done through contracts, HUD's Office of Policy Development and Research does administer several smaller-scale research grant programs. Notices of funding available under these programs are posted via *Grants.gov*. In addition, HUD's extensive research output is available to the public via the HUDuser database at: <http://www.huduser.org/portal/index.php>.

Dissemination of Formal Agency Agreements with External Entities to the Public

HUD's extensive partnerships have allowed the development of various communication vehicles and channels that increase its ability to deliver information to its customers. Efforts that are resulting in effective communications include:

- *Benefits.gov*: *Benefits.gov* provides a single point of access for citizens to locate information and determine potential eligibility for Government benefits and services. (<http://www.benefits.gov>)
- *Disaster Assistance Improvement Plan (DAIP)*: DAIP implemented *DisasterAssistance.gov* to improve the delivery of disaster assistance all across the Federal Government. The initiative includes member agencies that have active disaster assistance programs as well as those that do not. (http://www.disasterassistance.gov/daip_en.portal)
- *eRulemaking.gov*: E-Rulemaking provides citizens a single access point to view and comment on rules and notices. *Regulations.gov* provides the public Internet access to view, download, and submit comments on all Federal rulemakings. (<http://www.regulations.gov/search/Regs/home.html#home>)
- *Grants.gov*: *Grants.gov* enables Federal agencies to publish grant funding opportunities and application packages online while allowing the grant community to search for opportunities and download, complete, and electronically submit applications. By using *Grants.gov*, HUD is able to receive and review applications for funding through a single interface. (<http://grants.gov/>)

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

HUD's public facing website with its records disposition schedules can be found at:

http://portal.hud.gov/portal/page/portal/HUD/program_offices/administration/hudclips/handbooks/admh/2225.6

HUD's public facing website with its records control schedules can be found at:

<http://www.archives.gov/records-mgmt/rcs/schedules/index.html?dir=/departments/department-of-housing-and-urban-development/rg-0207>.

In compliance with NARA Bulletin 2006-2, 90 percent (69 systems) of HUD's electronic information systems have been approved by NARA. No electronic information schedule was submitted to NARA in FY10. Seven electronic information systems are pending approved record schedules.

HUD's Records Management Office resides in the Office of the Chief Human Capital Officer (OCHCO), formally known as Office of Administration.

Implementation of Electronic Signatures for Interoperability

HUD has made significant progress with regard to the implementation of electronic signature. HUD's framework to allow interoperability for secure electronic transactions incorporates the components of e-authentication and electronic signature. HUD's commitment to the E-authentication Initiative through the issuance of digital signature certificates via Personal Identity Verification (PIV) cards positions HUD to begin the planning and implementation of electronic signature. E-authentication is imperative to securing the information assets of HUD. Securing an inventory of applications in use across the HUD enterprise is important to the planning of electronic signature integration within the HUD target application architecture which HUD has accomplished. HUD has developed an authoritative source enterprise wide application inventory which allows the identification of applications suitable for the implementation of electronic signature. HUD has issued FIPS 201 PIV cards with digital signature certificates to 33 percent of the of HUD employees with an additional 39 percent in the process of being issued. With the

maintained application inventory coupled with the digital signature certificates, HUD is well positioned to utilize electronic signature for secure electronic transactions. Applications within the planning process such as the HUD Integrated Acquisitions Management System (HIAMS) have the capability of being planned and implemented using this technology. Within the HUD infrastructure, other candidate applications could benefit from the efficiencies of electronic signature technology.

Electronic Means of Enhancing Public Participation in Government

HUD has continued to support the effort to create and support *Regulations.gov*, the Government-wide website that provides the public with a portal to access and participate in the HUD rulemaking process. HUD has participated in this effort since the inception of *Regulations.gov* in 2002. Since that time, HUD has posted all of its documents requesting public comment (e.g., proposed and interim rules) on *Regulations.gov*. In addition, HUD includes language in all documents published in the Federal Register alerting the public to *Regulations.gov* as the preferred method of submitting comments. During the last fiscal year, HUD has received over 20,000 public comments through *Regulations.gov*. In addition, HUD has actively served on the Executive Board overseeing *Regulations.gov* and on its various task groups.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

The Office of the Chief Information Officer (OCIO) has recently undertaken an exercise that has thoroughly analyzed the direct linkage between the products and services performed by the OCIO to each of the five strategic goals of HUD's Strategic Plan for FY10-FY15. This cascading goal exercise focuses on the key stakeholders and the internal operations for delivering information and services through the use of IT.

Reducing Errors through Electronic Submissions

One of HUD's most important efforts to improve data quality, and one of the vital components of the overall modernization of its OCIO, is the professionalization and standardization of its investment management processes. This effort has been made possible through Transformation Initiative (TI) funds. The TI is an effort that sets aside one percent of funds from certain HUD programs to fund transformational projects and investments throughout the Department, including IT modernization. TI funding has helped to ensure that all of the Department's IT investments receive a consistent, modern, and effective management and oversight approach, and are in full alignment with the Department's strategic goals and strategic plan. As part of this process of standardization, all of the Department's investments will soon be tracked and reported in an Enterprise Sequencing Plan that shows dependencies such as schedule intersections and interactions between different systems. This sequencing plan will produce consistent and transparent architectural documentation and will be implemented on a rolling basis starting in the fourth quarter of 2010.

For the past several months, HUD has proactively collaborated with the Office of Management and Budget (OMB) to submit data to the updated Federal IT Dashboard and subsequently ensure its accuracy, reliability, and timeliness. HUD has already made the details of its 13 major investments available on the IT Dashboard, along with links to detailed financial information, Exhibit 300s, and other relevant data. Over the coming months, HUD plans to continue its efforts to improve transparency and make the details of more of its IT investments publicly available. HUD is fully committed to the principles of Open Government and recognizes the importance of not simply submitting data to the IT dashboard but of ensuring the quality and reliability of that data. Ranked among the best plans, HUD's Open Government plan was received favorably throughout the government and among numerous watchdog groups. Active collaboration with OMB has already revealed certain deficiencies that need to be rectified and yielded a number of lessons learned that will be useful in moving forward. These lessons include using existing

data sources for more timely and rigorous analysis to support program area decision making. These lessons learned have helped HUD target the specific modernizations that are necessary to provide timely and relevant data to the public.

HUD has been a leader in Open Government and is committed to making its operations more transparent and intelligible to the American people. While aware that challenges lie ahead, the Department is proud of its efforts to modernize its IT investment management processes and its work with OMB in releasing investment data and proactively addressing data quality issues. HUD stands committed to continuing to modernize its practices and to fully implement its planned controls that will better ensure data quality for the Federal IT Dashboard.

Efforts to Comply with Section 508 Regarding Information Management

HUD has integrated Section 508 standards into its procurement and system development standards. All contracts for the procurement of electronic information processing equipment, Commercial-off-the-shelf software (COTS) and information processing services have a clause stating that all appropriate deliverables must be Section 508-compliant. The Department has conducted training for procurement officials, project managers and information technology professionals to assure a complete understanding of the letter and intent of Section 508.

The Section 508 roles and responsibilities of involved personnel have been stressed in instructor-led classes, and all class material is available on the Department's intranet site to ensure clear guidance for each key procurement process area (HUD Requiring Officials, the Procurement Office, the Section 508 Coordinator, the Office of Fair Housing and Equal Opportunity, and HUD's Assistive Technology Program). Carrying out the outlined responsibilities ensures that HUD acquires compliant electronic information technology (EIT). Additionally, HUD's web policies (<http://www.hud.gov/assist/webpolicies.cfm>) state the following:

- HUD's websites - including all online applications and work processes - must comply with Section 508 of the Rehabilitation Act of 1973, making content accessible to people with disabilities. Section 508 requires that anyone with disabilities must be able to access and use information and data on a website, comparable to the way people without disabilities can get that information and data, unless it would cause HUD an undue burden.
- If you use assistive technology (such as a screen reader, Braille reader, etc.) and have problems accessing information on HUD's website, please contact HUD (<http://www.hud.gov/library/bookshelf11/webman/webman.cfm>) and tell them about your problem. Be sure to include the URL (web address) of the material you tried to access and your contact information. HUD will try to provide the information you are seeking.

Quantifying Cost Savings Achieved through Implementation of IT Programs

In 2010, HUD received, for the first time in many years, funding to modernize legacy business processes and information systems. Use of the funds is dependent upon HUD providing evidence that the agency has contemporary IT governance processes in place to manage its IT investments including enterprise architecture and capital planning. HUD initiated an assessment of the current business delivery processes and information systems to identify the most efficient and effective use of the funds. That assessment was completed in the fourth quarter. Recommendations on a target architecture, IT management process improvements, and restructuring of HUD's IT investment portfolio are due in the first quarter of FY11.

Working with OMB, HUD has identified a targeted set of projects to pursue in FY11.

Department of the Interior

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Department of the Interior (Interior) Information Technology Strategic Plan is located at:

http://www.doi.gov/ocio/strategic_plan.html.

The Interior Enterprise Architecture Transition Plan is located at:

<http://www.doi.gov/ocio/architecture/documents/DOI%20Enterprise%20Transition%20Plan%20FY09.pdf>.

Information Dissemination Management to the Public

Interior organizes and categorizes information intended for public access on their website, located at:

<http://www.doi.gov/archive/ocio/egov/index.html>.

Improved Performance in Support of Agency Objectives and Strategic Goals

Interior developed an inventory of key strategic drivers to assist in the evaluation of its IT portfolio. This inventory aligned Interior's specific mission priorities with Government-wide technology initiatives, as well as factoring in major findings by the Inspector General and/or Government Accountability Office (GAO). These drivers were then mapped to agency segments and investments as a basis for prioritizing resource allocation and management focus. This mapping was used to develop a notional IT Governance framework intended to break down organizational silos and realign decision making with common mission objectives. In direct response to the Open Government Initiative, Interior identified several key objectives to create a more transparent and innovative Interior including: creating better relationships between the Government and stakeholders; enabling Interior to understand stakeholders' demand for services more clearly and be more responsive to their needs; increasing the rate of innovation by leveraging public knowledge; and encouraging the development of Open Government programs that can produce significant cost avoidance and mission benefits. Interior is committed to achieving these objectives and has established performance measures of Open Government progress including: number of Interior datasets available on *Data.Gov*; reduction of Freedom of Information Act (FOIA) backlog; and level of participation in Open Government-focused initiatives.

Interior Datasets: In the past six months, Interior has drastically increased the number of datasets available on *Data.Gov* from 1,135 in March 2010 to 112,698 in September 2010. All major Bureaus have contributed datasets and are committed to the principles of information sharing. In addition, FY11 performance metrics for Open Government require each Bureau/Office to submit at least four high value datasets annually to receive highest marks. Currently, Interior has the second largest amount of datasets available on *Data.gov*.

FOIA Backlog: Interior has met with four of the five Bureaus/Offices identified as having significant backlogs (50 or more requests) to determine the reasons for the backlogs, identify remedial actions, and review their progress in meeting their individual reduction targets for FY10. Although Interior's backlog has generally declined, some Bureaus have experienced significant spikes in the number of requests received due to the BP/Deepwater Horizon oil spill and other issues. Interior has encouraged Bureaus to proactively post documents of interest to the public (e.g., documents related to the BP/Deepwater Horizon oil spill) to facilitate access by the public and improve transparency. Interior will be deploying its first computer-based training module for FOIA processors on the full range of current FOIA policies and procedures in the spring of 2010.

Participation: All Bureaus actively participated in the Open Government Planning Core Team which was established to develop Interior's Open Government Plan. Since the plan's inception, Bureaus/Offices

have continued to be involved in many of the different facets of Open Government. Bureau/Office participation can easily be seen through Interior's flagship initiative as well the National Park Service's National Historic Photograph Challenge on *Challenge.Gov*. Currently, Interior is restructuring the leadership structure of Open Government and every Bureau/Office is expected to provide representation and actively participate in Open Government initiatives.

Freedom of Information Act (FOIA) Compliance

- Interior's primary FOIA website is located at: <http://www.doi.gov/foia/>.
- The Interior FOIA handbook is located at: http://www.doi.gov/foia/handbook_2004.pdf.
- Documents that are frequently requested by the public under FOIA are located at: <http://www.doi.gov/foia/frindex.html>.

Dissemination of Federal Research and Development (R&D) Funding to the Public

The Interior public website to disseminate R&D information to the public is located at: <http://www.doi.gov/archive/ocio/egov/index.html>.

Dissemination of Formal Agency Agreements with External Entities to the Public

The Interior public website to disseminate Formal Agency Agreements with External Entities to the public is located at: <http://www.doi.gov/archive/ocio/egov/index.html>.

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

The Interior website that contains the publicly-posted records schedules is located at: <http://www.doi.gov/archive/ocio/egov/index.html>.

Implementation of Electronic Signatures for Interoperability

Under the auspices of the E-Authentication initiative, Interior inventoried public facing applications and determined that there were no appropriate uses for digital signatures to secure electronic transactions. Interior will be refreshing this inventory as part of Interior's efforts to meet requirements to support the Federal Identity, Credential and Access Management (FICAM) strategy that has been endorsed by the Office of Management and Budget (OMB). Based on the results of that updated inventory and further architectural analysis, Interior has committed to implement digital signatures, as appropriate, in FY12.

As of August 31, 2010, Interior issued Federal Information Processing Standard (FIPS) 201 Personal Identity Verification (PIV) cards with digital signature certificates to over 75 percent of the employee population. Interior is well positioned to utilize digital signatures for secure electronic transactions, as applications are planned and implemented using that capability.

Electronic Means of Enhancing Public Participation in Government

Interior uses *Regulations.gov* as the central access and dissemination point for all regulations and related documents. The site is Interior's primary vehicle for soliciting comments. Interior ensures that each regulation and appropriate supporting document is posted to the site as soon as possible. Where appropriate, Interior publishes in rules links to individual Bureau/Office websites where the public can consult other background information related to regulations. During FY10, Interior published 64 notices and 184 proposed and final rules, and received over 248,000 comments and supporting documents on Federal Register publications through *Regulations.Gov*. Public submissions to the *Regulations.Gov* website, as well as Interior's administration of these submissions through the Federal Docket Management System (FDMS), benefited the community interested in Interior's activities.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

In 2010, Interior continued to perform as an established Government-wide Managing Partner for Geospatial One Stop, Geospatial Line of Business (LoB), Recreation One Stop (through the third quarter of 2010), as well as a Shared Service Provider for both Human Resource and Financial Management LoBs. Interior also performed as a Supporting Partner for sixteen E-Government initiatives and six Lines of Business (LoB's) to develop common solutions, whereby Government-wide efficiency and reduced costs can be achieved. Interior established performance goals in support of the above roles. Highlights are provided below.

- *National Business Center (NBC) Shared Services Provider (SSP)*: The Consolidated Financial Statement (CFS) System is a major Interior IT investment used to produce Interior's consolidated financial statements. In FY10, the CFS investment met cost and schedule performance milestones as reported in <http://www.USAspending.gov>. Interior and its Bureaus used CFS to prepare FY10's consolidated financial statements and expect to meet future financial reporting deadlines.
- *The Geospatial LoB U.S. Geological Survey (USGS), Managing Partner*: USGS recommends a set of common Government-wide solutions that serve the Nation's interests, and the core missions of Federal agencies and their partners, through more effective and efficient development, and interoperability of geospatial data, technologies, and services. The LoB achieved important goals in facilitating collaboration and raising transparency of investments. Efforts included direct support for *Recovery.gov* and *Data.gov* to promote use of geospatial technologies, techniques and place-based approaches.

The collective E-Government approaches described above are captured in the Office of the Chief Information Officer's (OCIO) Requirements, which identify Interior-wide IT/E-Gov FY10 performance criteria and provide the support needed to achieve Interior's mission. This year, Interior strengthened its performance and incorporated metrics in support of Open Government to promote transparency and public participation in policy making. The Assistant Secretary for Policy, Management and Budget (PMB) chartered the DOI Innovation and Efficiencies Team (DIET), to make recommendations on how DOI can "do better IT for less". An emphasis was placed on promoting innovation and efficiencies to drive cost-savings in the current IT operating environment and to drive Interior's IT officials toward meeting new, aggressive performance goals that reduce inefficiency.

Reducing Errors through Electronic Submissions

Office of Surface Mining (OSM) Coal Fee Collection Management System (CFCMS): CFCMS replaced and integrated three legacy systems into one application: the legacy systems are the Fee Billing and Collection System (FEEBACS) that collects Abandoned Mined Land Fees; the Audit Fee Billing Collection System (AFBACS) that records the OSM audits of company filing records; and the Civil Penalty Accounting and Control System (CPACS) which maintains records and fee collection on civil penalties issued against a company. CFCMS allows for complete integration and record keeping of the financial interactions between OSM and the companies. The fee compliance program is a mission critical program in OSM. The redesign of CFCMS allows OSM to automate the *Pay.Gov* payment application and automatically apply payment files from the Treasury's *Pay.Gov* system to debts in CFCMS, thereby reducing errors.

Example of Enabling Infrastructure: The OCIO, working with the Homeland Security Presidential Directive 12 (HSPD-12) Project Management Office, built the digital sign-in enabling infrastructure and completed functional validation of the HSPD12 smartcard and Entrust certificates in 2010. The

validation testing was conducted within the Interior Active Directory (AD) with workstations and mobile devices. The OCIO successfully tested multi-factor authentication via Interior AD and personal computer smartcard readers. Implementation of digital sign-in and digital signature across Interior Bureaus and Offices is planned for completion in FY12.

Interior's Human Resources (HR) Shared Service Center (SSC) operated by NBC: The HR SSC, the only International Organization for Standardization (ISO) 9001 certified provider, successfully provided Government-wide, modern, cost-effective, standardized, and interoperable HR solutions to increase operational efficiencies. Along with the Interior, an additional 40 agencies have chosen the Interior HR SSC as their provider. These 41 agencies have a combined Federal workforce of approximately 300,000. The Interior HR SSC allows customers to mix-and-match best of breed HR systems that automate end-to-end HR business processes, with real time integration between components. Accomplishments in reducing errors through use of electronic submissions include the *Federal Personnel Payroll System (FPPS)* that receives and/or sends electronic files from/to multiple Federal agencies. NBC continues to work on modularizing its code base (from 13.45 percent in December 2008 to 29 percent in August 2010) which allows more system change requests to be processed in releases.

The Workforce Tracking and Transformation System (WTTS) and Entrance on Duty System (EODS): WTTS provides a batch file interface to GSA's USAccess. The efficiencies include accuracy of data across systems through real-time or near-real-time messaging between systems, avoidance of duplicate entry, and more timely notifications of personnel on-and-off boarding.

Electronic Contractor Staffing System (eCstaffing): Interior HR SSC developed eCstaffing in FY10 that promotes proper, effective, and efficient controls around monitoring of contractor staff. Interior HR SSC is the only Federal provider that has a single system that combines personnel action processing with payroll processing. When 29.8M data elements a year are updated in FPPS, they are immediately available to the payroll modules in FPPS. This results in significant reductions in error and avoidance of duplicate data entry.

Efforts to Comply with Section 508 Regarding Information Management

Interior is actively following policies and procedures pertaining to Section 508 of the U.S. Rehabilitation Act of 1973. Interior currently has procedures and tools to ensure Bureaus/Offices comply with Section 508 standards and regulations. In accordance with the Access Board Standard's technical provisions, Bureau and Office public Web pages are currently being scanned with the HiSoftware Compliance Sheriff software beginning in FY10. Bureaus/Offices are posting procurement solicitations on Federal Business Opportunities at *FedBizOpps.gov*, which include applicable Section 508 standards. Tools and training are available for Section 508 Coordinators and other applicable Interior employees. A computer-based training module on Section 508 awareness is available for Section 508 Coordinators, employees and contractors involved with the acquisition process.

Quantifying Cost Savings Achieved through Implementation of IT Programs

One of the initial projects launched as part of the Department of the Interior's Innovations and Efficiencies Team (DIET), Risk-based Information Security Services (RISS) is creating a new risk-based model for Interior information technology security that best reflects and supports the Department's missions, business functions, and organizational culture. This project is improving the IT security posture within Interior, and enhances that posture by improving cross-Bureau/Office data communications and reducing the IT security total cost of ownership (TCO) through the development of new policies. As part of these efforts, this project will re-write IT security policy to better reflect the nature of Interior's mission and appropriately adjust the IT security posture to fit Interior's risk profile, while protecting mission and

business data. RISS has been tasked with redefining Certification & Accreditation (C&A) boundaries in the new streamlined and flattened Interior IT infrastructure.

The RISS team has identified areas within Interior’s IT security organizations that can be immediately addressed with relatively easy solutions that will provide an immediate return on investment for Interior. The potential IT cost avoidance resulting from this project has been estimated at \$6.6M over the FY10-FY13 timeframe, through reductions in reauthorization efforts in FY10-FY12. The RISS team achieved its first major milestone on June 3, 2010, with the signing and distribution of a directive memorandum rescinding a redundant Interior requirement for 100 percent security control retesting as a pre-requisite for renewal of IT Security Authorization To Operate (ATO). As part of this project, Interior Bureaus/Offices have established strategies in line with the changed C&A process to achieve cost avoidance.

For FY10, the following table sums up the confirmed cost avoidance amounts.

FY10 Cost Avoidance resulting from C&A Reauthorization Process Change		Description of how funds were utilized in FY10
Bureau	Cost Avoidance	
BIA	\$ 76,400	Funds were applied to develop the mandated continuous monitoring program and apply NIST SP 800-53 Rev 3 security controls
BOR	\$ 10,664	Funds were re-directed to other IT Security activities
NBC	\$ 85,000	Funds were re-directed to other IT Security activities
USGS	\$ 71,298	Funds were re-directed to provide a detailed Internal Control Review (ICR) evaluation for all USGS systems.
TOTAL	\$ 243,362	

Department of Justice

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Department of Justice (Justice) Information Technology Strategic Plan is located at: <http://www.justice.gov/jmd/ocio/it-strategic-plan.htm>

The Justice Enterprise Architecture (EA) is an integrated, agency-wide blueprint designed to help Justice use information technology resources more efficiently and effectively, and to improve the delivery of Justice’s critical mission programs. The Department Transition Strategy and Sequencing Plan (T&S) documents Justice’s progress toward the Target Enterprise Architecture (EA). The goal of the T&S is to clearly articulate Segment performance and provide a summary of modernization activities. The intent of the T&S is to enable better management of Justice systems and programs against agency-wide plans. The T&S Plan also shows how the Department’s investments will address performance gaps and work to improve Justice capabilities, driving the Department toward the Target Architecture.

Information Dissemination Management to the Public

Justice publishes a comprehensive website inventory and priority list located at: <http://www.justice.gov/jmd/ocio/egovschedule.htm>

Improved Performance in Support of Agency Objectives and Strategic Goals

The Justice Performance and Accountability Report (PAR) is located at:

<http://www.justice.gov/ag/annualreports/pr2009/TableofContents.htm>.

Freedom of Information Act (FOIA) Compliance

- Justice's primary FOIA website is located at: <http://www.justice.gov/oip/index.html>.
- The Justice FOIA handbook is located at: http://www.justice.gov/oip/foia_guide09.htm.
- Documents that are frequently requested by the public under FOIA are located at: http://www.justice.gov/oip/04_2.html.

Dissemination of Federal Research and Development (R&D) Funding to the Public

Justice's public websites that disseminate R&D information to the public are located at:

- <http://www.ojp.usdoj.gov/nij/>
- <http://www.ojp.usdoj.gov/BJA/>
- <http://www.ojjdp.gov>
- <http://www.it.ojp.gov>
- <http://www.dna.gov>
- <http://www.cops.usdoj.gov>

Those providing information on the results of Federal research are:

- <http://bjs.ojp.usdoj.gov>
- <http://www.ojp.usdoj.gov>
- <http://www.ojp.usdoj.gov/nij>
- <http://www.ojp.usdoj.gov/BJA>
- <http://bjs.ojp.usdoj.gov/>
- <http://www.ojjdp.gov/>
- <http://www.ojp.usdoj.gov/ccdo/>
- <http://www.ojp.usdoj.gov/ovc/>
- <http://www.ncjrs.gov>
- <http://www.dna.gov>
- <http://www.ojp.gov/smart/>
- <http://www.cops.usdoj.gov>

Dissemination of Formal Agency Agreements with External Entities to the Public

The 2010 inventory describing agreements with external entities complementing Justice's information dissemination program is below:

- U.S. General Services Administration, Office of Citizen Services and Communications: <http://www.usa.gov/About.shtml>
- National Criminal Justice Reference Service (NCJRS): <http://www.ncjrs.gov>
- National Criminal Justice Reference Service, Justice Information Listserv, JUSTINFO: <http://www.ncjrs.gov/justinfo/dates.html>
- National Criminal Justice Reference Service, Library monthly update of titles on international topics added to the collection: <https://www.ncjrs.gov/imal.html>

- National Criminal Justice Reference Service, Library weekly update of titles added to the collection: <http://www.ncjrs.gov/wal.html>
- National Criminal Justice Reference Service, Program for the International Document Exchange (IDE) of Justice Information: <http://www.ncjrs.gov/intlide.html>
- Database aggregators that host the NCJRS Abstracts Database.
- Editors of justice and substance abuse periodicals.
- International audience of justice and substance abuse researchers, policymakers, practitioners, and others.
- Multi-disciplinary group of NCJRS customers.
- State Administering Agencies: <http://www.ojp.usdoj.gov/saa/>
- Institute for Intergovernmental Research (IIR): <http://it.ojp.gov/default.aspx>
- City, County, and State Law Enforcement: <http://www.fbi.gov/about-us/cjis/ucr/ucr>
- Justice Research and Statistics Association: <http://www.jrsainfo.org/>
- University at Albany, School of Criminal Justice: <http://www.albany.edu/sourcebook/>
- Urban Institute, Federal Justice Statistics Resource Center (FJSRC): <http://fjsrc.urban.org/index.cfm>
- Bureau of Justice Statistics Listserv.
- Community Anti-Drug Coalitions of America (CADCA National Coalition): <http://cadca.org>
- Corporation for National and Community Service (CNS): <http://www.nationalservice.gov/>
- Drug Education for Youth (DEFY): <http://www.donhq.navy.mil/defy/>
- Internal Revenue Service (IRS): <http://www.irs.gov/>
- Money Smart (Federal Deposit Insurance Corporation): <http://www.fdic.gov/consumers/consumer/moneysmart/index.html>
- Collaboration with the National Federation of Community Development Credit Unions (NFCDCU): weed&seedida@lists.natfed.org
- Office of Community Services (Assets for Independence): <http://www.acf.hhs.gov/programs/ocs/afi/>
- Virginia Center for Policing Innovation (VCPI): <http://www.cops.usdoj.gov/Default.asp?Item=2268>.
- Center for Problem-Oriented Policing, Inc. (POP Center): <http://www.popcenter.org>
- Espanol for Law Enforcement Online Training: <http://espanolforlawenforcement.gov>
- Law Enforcement Aviation Technology Program: <http://lawenforcementaviation.org/index.htm> www.sheriffs.org [Border Research Technology Center/Home.html](http://www.borderresearchtechnologycenter.org)
- Mock Prison Riot: <http://mockprisonriot.org/mpr/index.aspx>
- The National Institute of Justice (NIJ) Consultant Information System: <http://www.nijcis.org>
- DNA Initiative: <http://www.dna.gov>
- The Hague Domestic Violence Project: <http://www.haguedv.org/>
- The Rural Law Enforcement Technology Institute: <http://rleti.org>
- Electronic Crime Partnership Initiative: <http://ecpi-us.org/contacts.html>
- Justice Technology Information Network (JUSTNET): <http://www.justnet.org/Pages/home.aspx>
- National Clearinghouse for Science, Technology, and Law: <http://www.ncstl.org>
- Multi-Site Evaluation of the Serious and Violent Offenders Reentry Initiative: <https://www.svori-evaluation.org/>
- BiometricsCatalog: <http://www.biometricscatalog.org>
- Marshall University Forensic Science Center, DNA Training Pages: <http://forensics.marshall.edu/>
- Electronic Monitoring Resource Center: <https://emresourcecenter.nlectc.du.edu/>

- NamUs Unidentified Persons: <https://identifyus.org/>
- NamUs Missing Persons: <https://www.findthemissing.org/>
- Forensic Training Network: <https://www.forensic-training-network.com/>
- Virginia Center for Policing Innovation: <http://www.vcpionline.org/>
- West Virginia University: <http://elearn.wvu.edu/>
- Forensic Science Continuing Education Course List: <https://www.forensiced.org/>
- National Archive of Criminal Justice Data (NACJD): <http://www.icpsr.umich.edu/NACJD/index.html>
- National Business Center's (NBC) Federal Consulting Group: <http://fcg.nbc.gov/>
- National Forensic Science Technology Center (NFSTC): <http://www.nfstc.org>
- Center for Neighborhood Enterprises: <http://www.cneonline.org>
- Development Services Group: <http://www.ojjdp.gov/mpg/>
- National Center for Juvenile Justice (NCJJ).
- National Center for Missing and Exploited Children: http://www.ncmec.org/missingkids/servlet/PublicHomeServlet?LanguageCountry=en_US&
- National Training and Technical Assistance Center: <http://www.nttac.org>
- Pacific Institute for Research and Evaluation: <http://www.udetc.org>
- Institute for Intergovernmental Research: <http://www.nationalgangcenter.gov>
- Justice Resource Update.
- National Calendar of Crime Victim Assistance-Related Events, HELP For Victim Service Providers Web Forum, Directory of Crime Victim Services: <http://www.ovc.gov>, <http://ovc.ncjrs.gov/ovccalendar/>; <http://ovc.ncjrs.gov/ovcproviderforum/index.asp>; and <http://ovc.ncjrs.gov/findvictimservices/>
- OVC Gallery: <http://ovc.ncjrs.gov/gallery/index.html>
- OVC CrimeVictims.gov: <http://www.crimevictims.gov>
- National Crime Victims' Service Awards Nomination Site: <https://ovcnvrvw.ncjrs.gov/awards/default.html>
- National Crime Victims' Rights Week (NCVRW) Weblet: <http://ovc.ncjrs.gov/ncvrw/>
- Office for Victims of Crime Training and Technical Assistance Center (OVC TTAC): <http://www.ovcttac.gov>
- National Criminal Justice Association (NCJA): <http://www.ncja.org>
- Institute for Intergovernmental Research: <http://www.nsopw.gov/Core/Conditions.aspx>

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

In order to continue to meet the E-Government Act of 2002 Electronic Records Management Initiative requirements for scheduling electronic information systems beyond the initial September 30, 2009, deadline, the Justice Office of Records Management Policy (ORMP) continues to collaborate with NARA to submit records retention schedules for all existing systems containing Federal records. Justice's ongoing FY10 activities in this area included:

- Updating inventories for electronic information systems
- Determining which unscheduled systems contain Federal records
- Determining which of these records are covered by the General Records Schedules
- Developing records retention schedules for those unscheduled systems that contain records

On September 30, 2010, ORMP provided NARA the following inventory: 170 total E-Systems or Series; 136 Total E-Systems or Series with approved Records Schedules; 26 total E-Systems or Series with Records Schedules Submitted to NARA and Total Pending Approval; and eight Remaining Unscheduled

E-Systems or Series. Additionally, a Record Schedule was submitted to NARA in FY10 for three total systems.

Each Bureau-level component of the Department of Justice manages its own records management program, maintains its list of systems, and reports them to NARA independently. The Executive Office of U.S. Attorneys and the Executive Office for Immigration Review's figures were included on last year's report. They have since been elevated to Bureau-level status for Records Management related issues, and now report directly to NARA on these matters. This explains why there is a significant decrease in E-Systems on this year's report.

In FY10, NARA began publicly posting the Records Control Schedules on its website located at: <http://www.archives.gov/records-mgmt/rcs/>.

Implementation of Electronic Signatures for Interoperability

Justice has begun to plan and implement the use of digital signatures as part of the Department's compliance with the Federal Identity Credentialing and Access Management (ICAM) roadmap. To date, a small number of pilots have begun within Justice enabling PDF documents to be signed using the PKI signing certificates present on the HSPD-12 card. Additionally, Justice has established a base technical infrastructure to validate the certificate status of a digitally signed document.

Electronic Means of Enhancing Public Participation in Government

With one single online website, the Federal Docket Management System (FDMS) enables the Department of Justice to improve public access to all rulemaking material. Additionally, it provides a central location for the public to find and comment on Justice regulatory actions that affect their lives. The components of Justice with more active regulatory and notice programs are the Bureau of Alcohol, Tobacco, Firearms, and Explosives, the Civil Rights Division, the Drug Enforcement Administration, the Executive Office for Immigration Review, and the Federal Bureau of Investigation.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

Justice has a diverse range of performance processes that collect metrics from all components to measure strategic, process, and system performance. These processes include the Department Performance Accountability Report (PAR), Program Assessment Rating Tool (PART) results, Exhibit 300s and information sharing results. The metrics produced from these processes range from extremely high-level strategic outcomes to detailed system or investment specific metrics. Justice reports its performance annually in two major documents, the Justice Performance Accountability Report (PAR) and Transition Strategy and Sequencing (T&S) Plan. These documents cover a wide range of performance goals within Justice, including the delivery of information and services through the use of IT.

Performance Accountability Report: Justice tracks performance on an annual basis through the PAR, reporting on all accounts and associated activities of each office, bureau, and the Department. The PAR links performance with Justice's Strategic Goals, Financial Management, and the Management of its mission. In each instance, the PAR identifies the key stakeholder, component, and/or system that are responsible for the performance metric. The PAR provides a comprehensive overview of Justice's performance against its Strategic Goals and its ability to manage investments and programs. The latest Justice PAR is available on the Justice website:

<http://www.justice.gov/ag/annualreports/pr2009/TableofContents.htm>.

Justice T&S Plan: The Justice T&S Plan helps the Department relate IT system performance with strategic outcomes to show segment progress towards the target state. Since Justice does not collect

specific performance metrics for every single IT system in the Department, it can be a challenge to show how every IT system contributes to strategic results. The Justice segment architecture is used as a framework to help relate performance metrics with Components, business processes, programs, activities, and IT systems. The Justice EA Program Management Office (EAPMO) aggregates performance metrics from across the Department and aligns them with the segment architecture and strategic goals. Business processes, programs, and IT systems within each segment are then linked to the performance metrics to show causal relationships. The goal is to show how the performance of a single IT system or service may affect a strategic outcome in the Department. The Justice EAPMO reviews each segment's performance information to identify performance gaps and areas for improvement.

PART: PART allows for the tracking of program enhancements, as well as the evaluation of programs in four key areas – purpose and design, strategic planning, program management, and results and accountability. The Department utilizes the results of PART assessments in its ongoing efforts to improve programs and processes and refine its long-term measurable performance goals. Through the Department's Quarterly Status Reporting (QSR) system, the Department is able to engage leadership in a dialogue regarding the progress and status of PART follow-up actions and hold managers accountable for the long-term outcomes of these assessments. This reporting system also allows components to provide routine, reliable financial and performance information. PART ratings are available on the OMB website: <http://www.whitehouse.gov/omb/expectmore/>.

Exhibit 300s: The Department captures performance information for each of the major programs it is required to submit an Exhibit 300 to OMB. Justice follows OMB's guidance on the number and type of performance information that is captured for each Exhibit 300. There is at least one measurement indicator for each of the four different measurement areas (Mission and Business Results, Customer Results, Processes and Activities, and Technology) for each fiscal year. Justice infrastructure investments only capture performance metrics within the technology measurement area. Some Exhibit 300 information can be viewed through the OMB IT Dashboard: <http://it.USAspending.gov/?q=portfolios/agency=011>.

Reducing Errors through Electronic Submissions

Use of electronic submissions has helped to fulfill the Department's mission to better serve the public. Electronic submission allows for better management of data including re-use and audit purposes. Work processes are streamlined and more efficient. Following are a few examples.

National Instant Criminal Background Check System: The Brady Handgun Violence Prevention Act of 1993 (Brady Act) requires Federal Firearms Licensees (FFLs) to use the National Instant Criminal Background Check System (NICS) to determine whether a prospective firearm transfer would violate state or Federal laws. NICS is a computerized system designed to immediately determine if a person is disqualified from receiving or possessing firearms by conducting a search of available records. To comply with the Brady Act requirement to offer "other electronic means," FFLs use the NICS E-Check to benefit from features not available when initiating a check via the telephone.

During FY10, a total of 437,210 NICS E-Check transactions were processed. Since program inception (August 19, 2002 - September 30, 2010), a total of 1,531,145 NICS E-Check transactions have been processed. One feature of submitting the background check via the Internet is the availability of maintaining an electronic log of the information submitted making submission data verification accessible. If any information is submitted incorrectly, the FFL notifies the FBI Criminal Justice Information Services (CJIS) Division's NICS Section of the incorrect information and takes the necessary steps for correction. One of the major users of the NICS E-Check has notified the NICS Section of various operational discrepancies identified by using the NICS E-Check. This knowledge has enabled

other users to rectify the deficiencies by using NICS E-Check and sharing information. Therefore, the background checks conducted using the NICS E-Check have not only eliminated errors at initiation, but have also assisted in the prevention of future mistakes due to issues identified through its use.

During FY10, a total of 70,972 potential purchasers were denied by the NICS Section. The majority of the denials were due to the potential purchasers/possessors having criminal histories such as felony convictions, domestic violence convictions, and drug abuse. The NICS Section continually strives to improve the immediate response rate to FFLs regarding subject eligibility. In FY10, the NICS Section maintained an immediate determination rate of approximately 91.36 percent. The remaining 8.64 percent required further research.

Grants Processing: Justice grant making agencies, the Office of Justice Programs (OJP), Office on Violence Against Women (OVW), and the Office of Community Oriented Policing Services (COPS) review several thousand grant applications each year that are electronically submitted. The electronic submission of applications has allowed Justice grant-making components to more efficiently and effectively process applications and award grants to scholars, practitioners, experts, and state and local governments and agencies applying for Federal financial assistance.

Over the past 10 years, OJP has provided 52,000 funding awards to the criminal justice community totaling more than \$26B. In FY09, OJP awarded 4,900 grants totaling more than \$2.5B. In FY09, OJP also awarded an additional 3,883 American Recovery and Reinvestment Act grants totaling more than \$2.74B to state and local and tribal law enforcement and community organizations. The OVW administers 19 grant programs to help provide victims of domestic violence, sexual assault, dating violence, and stalking with the protection and services they need to pursue safe and healthy lives and enable communities to hold offenders accountable for their violence. The COPS Office does its work principally by sharing information and making grants to police departments around the United States. The COPS Office awards millions of dollars every year to help keep America safe through community policing.

E-Submissions to OMB: The Department has been submitting its Office of Management and Budget (OMB) Exhibits 53 and 300 to OMB electronically for some time now, first through OMB's MAX ITWeb and now through the Federal IT Dashboard. The Department uses the electronic Capital Planning and Investment Control (eCPIC) application to collect, validate, and submit its IT Budget and project management information to OMB. The ability of eCPIC to connect directly to the Federal IT Dashboard via the Federal IT Dashboard API has been very beneficial. This connection allows data to be collected at the project level in eCPIC, reviewed at the Component and Department level, and then submitted directly to OMB and the public. Project Managers, Department Management, and OMB can now view what the public views more quickly and identify and correct data quality issues sooner than ever previously possible. The direct one-way database-to-database communication also enables updates and corrections to be made quicker, sometimes in a matter of minutes. The speed by which Project Managers, Department Leadership, OMB and the public can review and correct data has improved data quality and overall project management.

Efforts to Comply with Section 508 Regarding Information Management

The Department of Justice Office of the CIO designates a Section 508 Coordinator. This person is charged with ensuring that appropriate awareness and information regarding requirements for complying with Section 508 of the Rehabilitation Act are available and publicized to IT program sponsors and program managers. Additionally, components also designate a Section 508 Point of Contact who serves as a resource to program sponsors and program managers for Section 508 compliance information. Department and component procurement staff support compliance with Section 508 by ensuring that all

acquisitions of IT solutions include specific contractual language requiring compliance with Section 508 in the contract specifications. Commercial software vendors are also required to provide certifications of compliance with Section 508.

Of particular note, the Department is currently piloting an Assistive Technology Resource Center (ATRC) within the Justice Management Division (JMD). The objective of the ATRC is to make electronic and information technology accessible to Department of Justice employees with disabilities in compliance with the standards mandated in Section 508 of the Rehabilitation Act of 1998. The ATRC will work with organization managers and employees with disabilities who qualify for assistive technology. Upon determining the success of this pilot program, JMD will expand the ATRC for use by all Justice Components.

Quantifying Cost Savings Achieved through Implementation of IT Programs

The Endpoint Lifecycle Management System (ELMS) BigFix is an Enterprise Unified Management Platform expected to deliver costs savings and/or cost avoidance. ELMS BigFix provides modular security-lifecycle management functionality to the Justice Enterprise. It was procured as SAIR I (Situational Awareness Incident Response) security solution through the GSA's SmartBUY program, in collaboration with the Department of Homeland Security. Key program benefits include: standard security configurations throughout the Justice enterprise to enable improved communication, and collaboration; enforcing minimal desirable configurations throughout the Justice enterprise, resulting in fewer incidents, greater standardization, and a lower total cost of ownership per asset; fosters and drives synergy among Justice Cybersecurity workforce and improves internal communication; increased efficiency and efficacy on security posture through collaboration and streamlining; improved regulatory compliance across the Department; and improved customer service through centralized service delivery model from the Enterprise Service Bus.

Project initiation and procurement began in FY09. The pilot ran from February through August 2010; it involved the training of 54 console operators and the deployment of management agents to 30,000 endpoints across eight components. The system is expected to be deployed across the Department by December 30, 2010, with additional features to be rolled out by July 2011.

As a tool, BigFix is already showing promising and measurable returns as a platform with a small footprint that is able to deliver significant and measurable results. The platform features a centralized data model with decentralized application architecture. The centralized data model maximizes the benefits and savings associated with centralization. The federated application architecture places management and control of component end-points with component operators.

Through each phase of product lifecycle, the ELMS Program Office delivers planning, consultation, engineering, and training services to deliver functionality from the moment that agents are deployed. Over the life of the platform the greatest return on investment (ROI) and efficacy will be achieved through the number of endpoints under management (target 99 percent of servers and workstations), and the depth of functional adoption and integration with business goals, practices, and processes. The velocity at which components approach agent deployment and business process integration are largely dependent on the availability of functional and technical resources and the priority that adoption is given. Simply stated, the more assets under management and the more tasks performed through BigFix, the greater the savings.

As an enterprise procurement, the department leveraged volume license discounts to realize significant savings (projected at over \$8.5M over the life of the program) compared to procurement on a component-by-component basis. With a centralized data and service model, the equipment and resource costs are minimized from start-up and better controlled across the life of the program.

Department of Labor

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Department of Labor Information Technology Strategic Plan is located at:

<http://www.dol.gov/cio/programs/ITStrategicPlan2006/IT-Strategic-Plan.htm>.

The Labor Enterprise Architecture Transition Plan is located at:

<http://www.dol.gov/cio/programs/DOL-Transition-Strategy-Plan.pdf>.

Information Dissemination Management to the Public

In accordance with Section 207(f)(2) of the E-Government Act of 2002

(<http://www.archives.gov/about/laws/egov-act-section-207.html>), Labor posts its web content publication schedule at the following link: <http://www.dol.gov/dol/aboutdol/content.htm>.

Additional publication resources are listed under the “FOIA Reading Room” at:

<http://www.dol.gov/dol/foia/readroom.htm>.

The Department of Labor has also made information dissemination and public engagement a key element of its Open Government Initiative (<http://www.dol.gov/open>).

Improved Performance in Support of Agency Objectives and Strategic Goals

Currently, Labor tracks performance by setting, communicating, and gaining commitment to measurable objectives and performance measures, tracking progress, and making adjustments to meet current needs, demonstrating accountability to the government and customers. In addition, citizens services is one of the paramount agency objectives that is responsible for 1) fostering, promoting, and developing the welfare of the wage earners, job seekers, and retirees of the United States; 2) improving working conditions; 3) advancing opportunities for profitable employment; and 4) assuring work-related benefits and rights.

Freedom of Information Act (FOIA) Compliance

- The Labor Primary FOIA website is located at: <http://www.dol.gov/dol/foia/>.
- Labor’s FOIA handbook is located at: <http://www.dol.gov/dol/foia/guide6.htm>.
- Documents that are frequently requested by the public under FOIA are located at: <http://www.dol.gov/dol/foia/readroom.htm>.
- In 2010, Labor created a new Office of Information Services to improve the effectiveness of Labor’s FOIA operations, by enhancing department-level administration of FOIA functions and assistance to the FOIA staff throughout Labor who directly respond to FOIA requests.

Dissemination of Federal Research and Development (R&D) Funding to the Public

The Employment and Training Administration’s (ETA) research and demonstration projects cover a wide range of topics related to the workforce investment system and unemployment insurance. In addition to research and demonstrations, ETA conducts evaluations of these programs to help guide the workforce investment system in administering effective programs. ETA’s website includes a link to the ETA Library (<http://wdr.doleta.gov/research/>). The ETA library contains information about the research and evaluation that ETA supports, including a publication database. The Department of Labor also hosts a Research and Evaluation Inventory and Documents Library that highlights current initiatives across the Department, including those in ETA (<http://www.dol.gov/asp/programs/REIDL/index.htm>).

The Occupational Safety and Health Administration’s (OSHA) website

(<http://www.osha.gov/dte/sharwood/index.html>) provides information about the Susan Harwood Training

Grant Program which is designed to provide training and education programs for employers and workers on the recognition, avoidance, and prevention of safety and health hazards in their workplaces. The website includes information on the solicitation/application process, previous grant recipients, as well as materials produced by past grant recipients.

Dissemination of Formal Agency Agreements with External Entities to the Public

Labor's inventory of formal agency agreements is published at the following link:

<http://www.dol.gov/dol/2010MOUE-GovReport.htm>.

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

Labor has 175 approved records schedules covering the retention and disposition of Labor agency records. In FY10, in accordance with Section 207(e) of the E-Government Act of 2002 [44 U.S.C. 3601] and NARA Bulletins 2008 03, Scheduling Existing Electronic Records, and 2006 02, NARA Guidance for Implementing Section 207(e) of the E-Government Act of 2002, Labor submitted one record schedule covering an electronic information system (EIS). During this reporting period, Labor identified an additional 53 EIS and added them to the Labor EIS inventory bringing the total number of Labor EIS inventoried to 170. Of these 170 EIS, 95 were identified as covered by an existing NARA approved records schedule; 20 records schedules submitted to NARA, including two in FY10, are currently awaiting NARA's review, appraisal and approval. Draft records schedules for the remaining 55 inventoried EIS were prepared and will be finalized and submitted to NARA for approval in FY11.

Additionally, the Bureau of Labor Statistics (BLS) and the Women's Bureau (WB) currently participate in NARA's Electronic Records Archives (ERA) system pilot. In FY10, both BLS and WB used ERA to draft, finalize and submit records schedules for their agencies. Labor's inventory of NARA-approved Records Schedules may be found on the Department of Labor's Open Government website:

<http://www.dol.gov/dol/records/#8>. Additionally, Labor records schedules may be located on NARA's website: <http://www.archives.gov/records-mgmt/rcs/>.

Implementation of Electronic Signatures for Interoperability

In 2007, Labor became the first Cabinet-level agency to implement a department-wide system for the electronic submission of documents to the Federal Register using E-Signature procedures. On average, Labor transmits 15-25 submissions to the Federal Register each week using E-Signature procedures. By using eSignature procedures, Labor has been able to modernize the document submission process. This has eliminated redundancies, reduced costs, and improved the quality of Labor's submissions.

Electronic Means of Enhancing Public Participation in Government

Since 2006 Labor has participated in the Government-wide eRulemaking initiative, which is comprised of the Federal Docket Management System (FDMS) system and *Regulations.gov*. The Department has also developed a new website that provides the public a central point to learn more about the regulatory process and specific Labor regulatory activities and facilitate access to Labor regulatory material (<http://www.dol.gov/regulations>). This new website was unveiled with the Fall 2009 Regulatory Plan and Agenda with a live public web experience where the Secretary of Labor and other Labor executive leadership staff answered questions about the Labor regulatory agenda submitted online from the public.

Labor is using a number of online tools to reach a larger and broader audience. For example public web chats have been used as an effective tool in sharing information and receiving feedback about the Department's regulatory agenda, strategic plan, and other priorities. In addition, the Department has expanded its use of social media platforms such as Facebook, Twitter, Flickr, and a new Departmental blog (<http://social.dol.gov/blog>) to better engage the public.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

The Labor Performance Model represents the overall landscape for performance measurement at Labor. This model starts with the Department Strategic Plan (goals, performance outcomes, and measures) and drills down the hierarchy to the Agency Strategic Plan (goals, objectives, and measures) and then to Program Initiative Plans (goals, objectives, and measures). This model enables Labor to ensure that initiatives are planned and managed within the bounds of the Department's Strategic Goals and Performance Outcomes. Furthermore, segment and initiative measures align with the Federated Performance Reference Model performance areas and serve to detail performance objectives within the relevant criteria. The structure and function of the Labor Performance Model both drives the development of and ensures the successful execution of Labor's Annual Performance Plan.

In evaluating the effectiveness of performance measures, Labor has adopted and enhanced the industry standard S.M.A.R.T (Specific, Measurable, Achievable, Relevant, and Time-based) method of checking the viability of measures. At a high-level, target architectures define two important parameters for decision-making. First, through a performance gap analysis, it identifies mission needs in comparison to the baseline environment and critical change drivers. Second, through an elaboration of current and desired business, data, application, and technology configurations, it helps define the change requirements for implementing solutions that address identified mission needs through Measuring Value (enabling more informed decision-making) and Managing Transition through Performance (quantify expected improvements in relation to meeting identified mission needs).

Reducing Errors through Electronic Submissions

Labor continues to implement a Government Paperwork Elimination Act (GPEA) strategy to improve customer service delivery, support the Department's Information Technology strategy of meeting near-term reporting requirements, reducing paper submission errors through the use of electronic submissions, and ensuring integration into major management processes. In addition, as part of its GPEA implementation effort, Labor continues to leverage technology, in current and new customer interactions, to reduce errors and public burden with techniques like information sharing, automated customized form populations, and automatic online editing of information on forms, thereby increasing information accuracy and significantly reducing data entry errors. These electronic data submissions and storing and sharing of information not only provide a secure and scalable architecture but also lower the overall processing and operating costs associated with the agency information management. Some examples are as follows:

- BLS's Internet Data Collection Facility is a key component in automating the Bureau's data collection efforts by providing an automated tool that simplifies the reporting from the Bureau's respondents, thereby supporting the Paperwork Reduction Act and GPEA compliance efforts.
- The Employee Benefits Security Administration's (EBSA) major employee benefit plan filing system referred to as EFAST2 provides 100 percent Internet-based electronic filing capabilities that began in 2010, significantly reducing the filing burden and processing time for all filers. EFAST2 also provides real-time access to filing status and public access to submitted filings within one day of their receipt, which is down from 90 days of paper-based processing time.
- The Wage and Hour Division (WHD) has over 150 forms, publications, posters, etc., available in electronic format on the Internet at the Wage Hour Publication System website. In addition, two of WHD's forms, the Electronic WD-10 and the Electronic SF-98, allow for direct and complete data submission via the web.
- The Mine Safety and Health Administration (MSHA) also continues to support to web-based filing for its customers, thus reducing public paperwork burden. Currently 100 percent of

MSHA's public-use forms with 5,000 or more respondents provide an electronic submission option via the public website.

- OSHA also permits employers to use improved information technology when establishing and maintaining required records and, in accordance with E-Government requirements, makes recordkeeping forms available on its website, including the OSHA Form 300.

Efforts to Comply with Section 508 Regarding Information Management

Labor maintains an internal policy as part of its comprehensive Manual Series titled, IT Accessibility Management in the Department of Labor Manual Series (DLMS), Chapter 9-600. This chapter establishes policies and procedures within Labor to implement Section 508 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794d). This policy is applicable to all Labor electronic and information technology, including information contained on Labor external and internal websites and also applies to office equipment such as computers, printers, fax machines, copiers, and other electronic resources such as software applications and telephones. In FY11, Labor plans to review and update the DLMS Chapter 9-600 to include language that reflects both the changes in the web environment and the Section 508 Refresh's move to harmonize with WCAG 2.0 level AA.

Implementation of this policy includes that Labor require all procurement vehicles to include requirements addressing Section 508 compliance, IT systems are tested to ensure compatibility with assistive technologies, and all forms and other materials posted on Labor's public facing and internal websites are reviewed to ensure Section 508 compliance. In late FY10, Labor designated and hired a full time Federal staff position for the role of Departmental Section 508 Coordinator to provide internal advocacy for Section 508, enterprise level management of Labor's Section 508 program, and internal oversight for issues pertaining to Section 508 compliance. The main focus for the new Departmental Section 508 Coordinator in FY11 is to strengthen Section 508 as part of Labor's business processes and ensure departmental staffs have the information and resources available to them to support the accessibility of all Labor projects.

Quantifying Cost Savings Achieved through Implementation of IT Programs

Labor continually strives to position Enterprise Architecture (EA) as a facilitator of meaningful, mission-driven business transformation as it enables informed decision-making and provides for the ability to manage performance through transition. EA also allows agencies to directly estimate cost savings and cost avoidance through cost benefits analysis, information validation and sharing, technology standardization and business process re-engineering. This enables improved program effectiveness, improvement in the ability to service the citizens, as well as an overarching improvement of Department spending efficiencies.

For example, EFAST2 is a collaborative initiative among three agencies that include 1) EBSA; 2) Internal Revenue Service; and 3) Pension Benefit Guaranty Corporation. EFAST2 was designed to collect, process, and disclose data and images from the over one million Form 5500 employee benefit plan filings submitted each year to Government end-users and to the public. EFAST2 replaced the legacy, paper-based EFAST system and has reduced the total Form 5500 processing-cycle turnaround time from over 90 days (under EFAST) to 1 day, and minimized processing errors, resulting in sizable cost savings to the agency. Additionally, the quality of information has improved by automated edit checking as part of the filing process.

Department of Transportation

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Department of Transportation (DOT) Information Technology Strategic Plan is located at:
http://www.dot.gov/cio/docs/IRM_StrategicPlanFY07-2012.pdf.

The DOT Enterprise Architecture Transition Plan is located at:
http://www.dot.gov/cio/docs/ETS_FY09.pdf.

Information Dissemination Management to the Public

The websites that DOT uses to disseminate information to the public are located at:

- <http://www.dot.gov/webpublishing.htm>
- <http://www.dot.gov/open/>

Improved Performance in Support of Agency Objectives and Strategic Goals

- DOT Performance, Budget, and Planning documents that support Agency Objectives and Strategic Goals are located at: <http://www.dot.gov/about.html#perfbudgplan>.

Freedom of Information Act (FOIA) Compliance

Primary FOIA links	
DOT FOIA Handbook	http://www.dot.gov/foia/foiareferenceguide.htm
DOT primary FOIA website	http://www.dot.gov/foia/

Frequently requested records (Reading Rooms) by Operating Administration (OA)	
Office of the Secretary of Transportation (OST)	http://www.dot.gov/foia/err.htm
Office of Inspector General (OIG)	https://www.oig.dot.gov/foia-electronic-reading-room
Federal Aviation Administration (FAA)	http://www.faa.gov/foia/electronic_reading_room/
Federal Highway Administration (FHWA)	http://www.fhwa.dot.gov/foia/err.htm
Federal Motor Carrier Safety Administration (FMCSA)	http://www.fmcsa.dot.gov/foia/electronicreadingroom.htm
Federal Transit Administration (FTA)	http://www.fta.dot.gov/about/about_FTA_8574.html
Federal Railroad Administration (FRA)	http://www.fra.dot.gov/Pages/951.shtml
Maritime Administration (MARAD)	http://www.marad.dot.gov/about_us_landing_page/freedom_of_information_act/foia_elec_reading_room/Electronic_Reading_Room.htm
National Highway Traffic Safety Administration (NHTSA)	http://www.nhtsa.gov/FOIA
Pipeline and Hazardous Materials Safety Administration (PHMSA)	http://www.phmsa.dot.gov/foia/e-reading-room

Frequently requested records (Reading Rooms) by Operating Administration (OA)	
Research and Innovative Technology Administration (RITA)	http://www.rita.dot.gov/freedom_of_information_act/
Saint Lawrence Seaway Development Corporation (SLSDC)	http://www.seaway.dot.gov/FOIA.htm

Dissemination of Federal Research and Development (R&D) Funding to the Public

Each of the sites below contains an overview of the various research programs in the Operating Administration (OA). Where grant opportunities are available, information is posted. DOT's grant opportunities are also noticed through the *Grants.gov* E-Government initiative (see the following section of this report). Publications are made available, as are annual summaries of program results. In some instances, strategic plans, events calendars, and public affairs collateral are also available. Publications, especially those from the cooperative research programs, are disseminated via the National Transportation Library and Transportation Research Information System (see the following section this report for more detail). In addition to the information listed, the Department's Budget Office provides information to *Radius* and *Science.gov* annually.

Operating Administration	Links for where R&D information is posted
FAA	http://www.faa.gov/data_research/research/
FHWA – Research and Technology Program	http://www.fhwa.dot.gov/research/
FHWA – Turner-Fairbank Highway Research Center	http://www.fhwa.dot.gov/research/tfhrc/
FMCSA – Analysis, Research & Technology	http://www.fmcsa.dot.gov/facts-research/art.htm
FRA – Research & Development	http://www.fra.dot.gov/us/content/32
FTA – Research, Technical Assistance, and Training	http://www.fta.dot.gov/research.html
MARAD – Research & Development Activities	http://www.marad.dot.gov/environment_safety_landing_page/maritime_safety/rnd_act/rnd_act.htm
NHTSA – Research and Evaluation Program	http://www.nhtsa.gov/Research
NHTSA – Vehicle Safety Research	http://www.nhtsa.gov/VRTC
PHMSA – Research & Development	http://www.phmsa.dot.gov/initiatives/r-and-d
RITA – Intelligent Transportation Systems	http://www.its.dot.gov/index.htm
RITA – RD&T	http://www.rita.dot.gov/rdt/

Cooperative Research Programs	
Airport Cooperative Research Program (ACRP)	http://www.trb.org/ACRP/Public/ACRP.aspx

Cooperative Research Programs	
National Cooperative Freight Research Program (NCFRP)	http://www.trb.org/NCFRP/Public/NCFRP.aspx
Hazardous Materials Cooperative Research Program (HMCRP)	http://www.trb.org/HMCRP/Public/HMCRP.aspx
National Cooperative Highway Research Program (NCHRP)	http://www.trb.org/NCHRP/Public/NCHRP.aspx
Transit Cooperative Research Program (TCRP)	http://www.trb.org/TCRP/Public/TCRP.aspx

Dissemination of Formal Agency Agreements with External Entities to the Public

DOT has Memoranda of Agreement (MOA) with several agencies:

- With the Small Business Administration for OA links to Business Gateway for small business compliance information, located at: <http://business.gov>.
- With the Department of Labor for the Office of Small and Disadvantage Business Utilization to link to Gov Benefits for benefit and assistance programs, located at: <http://www.GovBenefits.gov>.
- With the National Science Foundation (NSF) to support the Grants Management Line of Business Program Management Office (GMLoB/PMO).

DOT has an Interagency Service Level Agreement with the *Grants.gov* Program Management Office (PMO) and the Department of Health and Human Services (DHSS).

DOT has a Memorandum of Understanding (MOU) with the Environmental Protection Agency to support the maintenance and operation of the Government-wide electronic docket management system known as the Federal Docket Management System (FDMS), located at: <http://www.regulations.gov>.

The Federal Highway Administration (FHWA) has a signed MOU with the Department of Interior for FHWA's Byways Program that links to Recreation One Stop, located at: <http://www.recreation.gov>.

The Research and Innovative Technology Administration (RITA) has an MOU with the Transportation Research Board that enables the National Transportation Library (NTL) to host the Transportation Research Information System (TRIS) Online and make the database available free to the public. The link to this database is: <http://ntlsearch.bts.gov/tris/index.do>.

RITA, through the Bureau of Transportation Statistics, houses the DOT Geospatial Information Officer (GIO). RITA has an MOU with the Department of Interior to participate in the Geospatial Line of Business (LoB) and share DOT-related information through the Geospatial One Stop (GOS) site, located at: <http://www.geodata.gov>.

The Saint Lawrence Seaway Development Corporation (SLSDC) has an MOU with the Canadian St. Lawrence Seaway Management Corporation that allows for bi-national support of the Great Lakes St. Lawrence Seaway System bi-national website (<http://www.greatlakes-seaway.com>) that is linked to <http://www.seaway.dot.gov>. This site provides the general public with Seaway shipping news, port and

terminal information, vessel tracking, cargo statistics and other useful resources. Since its launch in 2001, the site has experienced more than 10.6M page hits from viewers in more than 150 countries.

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

DOT leverages both mission-specific approved retention schedules, as well as the General Records Schedules (GRS) published by NARA.

Currently DOT retention schedules are published by NARA on their public facing site, which can be found at: <http://archives.gov/records-mgmt/rcs/schedules/index.html?dir=/departments/department-of-transportation>.

For FY10, the DOT successfully submitted a total of 364 e-Systems for scheduling in accordance with NARA Bulletin 2006-02. The following data are current as of October 2010:

Department, Agency, or Component	Total Number of e-Systems or Series	Total Number of Approved e-Systems or Series	Total Number of e-Systems or Series submitted to NARA and Pending Approval	N/A (systems were retired and merged or was not a reportable system)	Total Number of Unscheduled e-Systems or Series	Percentage of all e-Systems and Series Approved or Submitted
FHWA	138	132	5	0	1	100%
FMCSA	17	7	10	1	0	100%
FRA	47	25	22	9	0	100%
FTA	10	0	10	0	0	100%
MARAD	28	28	0	0	0	100%
NHTSA	30	0	18	12	0	100%
OIG	3	3	0	0	0	100%
OST	41	39	1	1	0	100%
PHMSA	4	0	0	0	4	100%
RITA	13	0	13	0	0	100%
SLSDC	2	0	2	0	0	100%
Total	333	234	81	23	5	100%

Implementation of Electronic Signatures for Interoperability

DOT is building its Identity, Credential, and Access Management (ICAM) program to ensure DOT systems and applications will appropriately secure transactions efficiently by authenticating internal users with Personal Identification Verification (PIV) cards and authenticating external users with PIV-interoperable (PIV-i) credentials and by utilizing the public key infrastructure (PKI) digital signature certificate stored on the PIV cards. DOT employees can currently send and receive digitally-signed emails both within DOT and to and from external partners.

Electronic Means of Enhancing Public Participation in Government

As indicated previously, DOT has a MOU with the EPA to participate in the Federal Docket Management System (FDMS) at <http://www.regulations.gov>, which allows the public access to agency documents, as well as any public submissions, in rulemaking, adjudications, and other DOT proceedings. DOT also promotes public participation via the Regulation Room. DOT is also exploring ways to harness Web 2.0 technology to increase public participation in the rulemaking process through a joint research project with

Cornell University; more information can be found on the project's public facing website at <http://regulationroom.org/>.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

The DOT budget process links expenditures to strategic goals, which are developed in alignment with its mission and key stakeholders, including the private sector, other agencies, and internal operations. DOT's FY11 budget estimates are linked to the FY06-FY11 DOT Strategic Plan. DOT's FY06-FY11 outcomes were:

- Safety
- Reduced Congestion
- Global Connectivity
- Environmental Stewardship
- Security, Preparedness, and Response
- Organizational Excellence

Each outcome has performance goals, which in turn have metrics to which each program aligns its funding. Included in these funding amounts are IT dollars.

DOT anticipates the release of an updated strategic plan that details the Department's new priorities and areas of emphasis. DOT expects the performance sections of the FY12 budget submission will be aligned to this new strategic plan. During FY10, DOT employed an innovative approach to acquiring input on its updated strategic plan, providing for a public comment period using the IdeaScale platform – the same platform all Federal agencies used to solicit public comment during the development of their Open Government Plans. To draw attention to this new tool, DOT Office of Public Affairs (OPA) publicized it on Twitter, Facebook, and the Secretary's blog. The plan was open for comment from May 4 through June 15, 2010. DOT received 183 individual ideas and 18 comments on those ideas. Ideas were received from the general public as well as state/local Departments of Transportation and a variety of transportation partners. DOT's FY12 outcomes are expected to be:

- Safety
- State of Good Repair
- Economic Competitiveness
- Livable Communities
- Environmental Sustainability
- Organizational Excellence

To further demonstrate alignment of services and allocation of the Department's information management and technology resources, and identify business outcomes and operational efficiency opportunities, the DOT Chief Information Officer is developing an IT Vital Signs reporting tool. On a quarterly basis the leading indicators tool examines selected key performance areas that fulfill the Department's strategic business goals and reporting requirements.

Reducing Errors through Electronic Submissions

DOT IT investment information is updated on OMB's IT Dashboard using an electronic submission process that allows DOT's current capital planning tool to directly interact with the IT Dashboard program. This allows DOT to create a series of validation requirements that can be run against the investment data to ensure it is in the proper format and logical. If any errors occur, the investment data is

rejected and a list of specific faults is provided. Investment owners can therefore quickly locate and correct any issues before publishing their data to the public-facing IT Dashboard. This ensures IT Dashboard users have logical, consistent data from which to analyze and report.

Efforts to Comply with Section 508 Regarding Information Management

DOT's Section 508 compliance program is comprised of several components. The following highlights two of the more significant activities.

DOT performs website compliance assessments using an automated tool. The total number of pages scanned for the FY10 baseline was 418,687 of which 406,562 passed (97 percent).

DOT provides technical assistance to any DOT office (and contractor) that requests it. Requests for service cover a very broad set of topics concerning information, information technology products, procurements, policies, testing methods, and requests for resources and referrals. The number of requests in FY10 was 405 (not including training) and is an increase of 50 percent (from 269) over the number of requests in FY09. The increase is largely attributable to increased awareness of the requirements for making documents accessible, and to the addition of some websites such as the one for the "cash for clunkers" program. This increased awareness has resulted in an increased focus on accessibility earlier in the process – the primary drivers of these requests are focused on technical assistance, which normally occurs during the development stage, and assessment, which normally occurs after a product is ready to go live.

Quantifying Cost Savings Achieved through Implementation of IT Programs

DOT has not yet realized any cost savings or cost avoidance for new IT programs, but expects to in the future as new programs mature and become operational. The FAA, for example, is pursuing various initiatives including strategic sourcing, server virtualization, video conferencing, and infrastructure consolidation as ways that Information Technology can help achieve operating cost reductions.

Department of the Treasury

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Department of the Treasury (Treasury) Information Technology Strategic Plan is located at: <https://ustreas.gov/offices/management/budget/strategic-plan/>.

Part of Treasury's Enterprise Architecture Transition Plan (EATP) contains pre-decisional information and is not available on its public website. Treasury's Enterprise Architect led development of the Department's Data Center Consolidation Initiative (DCCI)/EA plan. The plan emphasizes shared services and a methodical approach that will drive an overall reduction in Treasury's infrastructure footprint. The plan also identifies major initiatives for IT that will allow Treasury to improve its operations in support of tax modernization and recent legislation.

Information Dissemination Management to the Public

Treasury's schedule for posting of web content and a comment form are available on the Department's principal public website, located at: <https://ustreas.gov/offices/cio/web-inventory.shtml>.

Improved Performance in Support of Agency Objectives and Strategic Goals

Treasury tracks performance measures related to agency goals, objectives, and outcomes. The Department has a mix of outcome, output, and efficiency measures. The Department aligns measures based on the Department's strategic framework in four major areas: Financial, Economic, Security, and Management. The Department establishes target values for measures during the budgeting process and

records actual values at specified frequencies (quarterly, annually, etc.). For each performance target, the Department calculates a percentage target for each performance period by comparing the actual and target values. Trends are determined for both target and actual values based on four years of data or more (where available). Trends can be up, down, or flat, and, depending on the desired direction of the measure, be either favorable or unfavorable. The Department summarizes these trends for management reports.

The Department rolls up the performance of a set of measures to understand performance at the strategic outcome, objective, and goal levels. The Department also measures trends at these levels. Performance measure information, along with anecdotal evidence and milestone achievement, are used together to assess overall performance. Additionally, the Department uses indicators (broad-based metrics that show whether outcomes are trending in the desired direction) to assess performance.

Freedom of Information Act (FOIA) Compliance

- The Treasury primary FOIA website is located at: <https://ustreas.gov/foia>.
- Treasury's FOIA handbook is located at: <https://ustreas.gov/foia/reading-room/handbook.pdf>.
- Documents that are frequently requested by the public under FOIA are located at: <https://ustreas.gov/foia/reading-room/#FRM>.

Dissemination of Federal Research and Development (R&D) Funding to the Public

Treasury does not fund R&D activities.

Dissemination of Formal Agency Agreements with External Entities to the Public

Treasury has a number of means to disseminate government information to the public. Among these are:

- *Computer Matching Agreements*: The Treasury Data Integrity Board, formalized by the Computer Matching and Privacy Protection Act and Treasury Directive 25-06, approves matching agreements between the Treasury Bureaus and Offices and other Federal, state, local and tribal governments to share taxpayer's personal information to obtain a benefit or service or to collect a Federal debt. Treasury's largest match is the Disclosure of Information to Federal, State and Local Agencies (DIFSLA) and the Internal Revenue Service (IRS). Under this match, there is an agreement with each state (50) and three Federal entities. The DIFSLA match and other computer matching agreements are accessible at: <https://ustreas.gov/offices/cio/information-management/docs/ComputerMatchingAgreements.pdf>.
- *Memorandum of Agreement (MOA)*: Community Development Financial Institution (CDFI) has an MOA for Bureau of Public Debt (BPD) hosting the CDFI Fund website server. The CDFI Fund website provides public access for dissemination of CDFI Fund organizational and award information.
- *Contractual Services*: CDFI has a contract with General Dynamics Information Technology (GDIT) to provide support for the update of the *CDFIFund.gov* public-facing website that disseminates information to the public accessible at: <http://www.cdfifund.gov/>
- *Department of the Treasury Library*: The Treasury Library has a partnership with the Library of Congress to digitize historical Treasury Department materials and make reports and documents publically available on the Internet. Materials include the Secretary's Annual Reports, Press Release Indexes, Treasury Bulletins, Exchange rate data, and other miscellaneous reports.

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

Treasury's records schedules are located at: <http://www.archives.gov/records-mgmt/rcs/schedules/index.html?dir=/departments/department-of-the-treasury>.

In FY10, Treasury allocated considerable resources to bring the Department into compliance with NARA Bulletin 2006-02 initiatives. There were 1,167 major and minor electronic recordkeeping systems department-wide at the close of the FY10. The Department has approved all systems for disposition or submitted schedules to the NARA for approval.

Implementation of Electronic Signatures for Interoperability

TreasuryDirect is a web-based system designed to maximize customer self-sufficiency, optimize the Department's resources, replace the issuance of paper savings bonds, and ultimately maintain all accounts for marketable securities. TreasuryDirect allows customers to buy, manage, and redeem electronic savings bonds and Treasury bills, notes, bonds, and Treasury Inflation-Protected Securities (TIPS) online. The system provides investors with an easy and secure way of viewing and managing all of their Treasury security holdings online. The Department designed TreasuryDirect to maximize customer self-sufficiency and minimize off-line processing by customer service and related personnel.

Electronic Means of Enhancing Public Participation in Government

Treasury launched the first government site to collect public comments on the Paperwork Reduction Act (PRA) information collection activities at <http://www.pracomment.gov/>. The public spends more than 6.4B hours on paperwork related to the Department's information collection activities. Therefore, in addition to using the Federal Register Notice, the Department has opened *PRAComment.gov*. The first form open for comment is the Internal Revenue Service (IRS) Form 1023, *Application for Recognition of Exemption Under Section 501(3)(c) of the Internal Revenue Code*, for a tax-exempt status.

All content that the Department provides using online video service, web services, and Internet applications, is also available via bureau hotlines, mail requests, and local service desks. The hotlines and US mail are available to all citizens and do not require access to the Internet. Additionally, the Department will continue making information available in hard copy and utilizing current distribution channels, such as providing tax forms at public libraries and other locations.

Treasury's public website, *Treas.gov*, is undergoing a redesign to make the Department information easier to find and understand. The redesign (*Treasury.gov*) is on track for implementation during FY11.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

Treasury links performance goals to key stakeholders by ensuring that realistic "Customer Results" and "Mission and Business Results" performance measures are always included in all projects and investments that provide or enhance core mission-related functionality to the Department. (Customer Results and Mission Business Results performance measures are two of the four major measurement types defined by the Federal Enterprise Architecture Program Management Office, as part its Performance Reference Model. These two measurement types focus on actual success of outcomes of IT investments.)

Customer Results performance measures are typically attained by:

- Performing formal customer satisfaction surveys that are completed by customers, both internal (e.g., Federal workers) and external (e.g., citizens).

- Tracking key indicators where measures are directly tied to customers and the level of satisfaction is intrinsic to the measure. For example, the “number of taxpayer refunds issued within 40 days” is a measure that (1) is directly tied to customers and (2) makes it clear that customers are more satisfied the higher this measure is.

Mission and Business Results performance measures are typically attained by:

- Selecting performance goals that directly measure changes to key program objectives (e.g., number of government payments made through electronic deposit).
- Selecting or defining performance goals that measure efficiencies or participation rates (e.g., Taxpayer Self-Assistance Participation Rate).

Reducing Errors through Electronic Submissions

Treasury has a solid portfolio of E-Government initiatives, including Modernized e-File (MeF), TreasuryDirect, the Federal Student Aid-Datashare (FSA-D) and others that reduce cost, improve access to information, reduce errors in data entry, and reduce the impact on the environment. Many of the E-Government initiatives are already producing cost savings and transforming the way the Department conducts business with stakeholders. In addition to developing transformational E-Government initiatives, by leveraging best practices acquired in the development of older E-Government initiatives, the Department is better able to enhance existing initiatives with additional capabilities that use new technologies and services. This approach dramatically increases access and transparency of existing services, and increases collaboration with internal partners, external partners, and consumers. Treasury continually engages in dialog with consumers and other stakeholders to identify how technologies and services may best improve the Department’s operations.

Treasury has increased on-line transaction capabilities through increased use of TreasuryDirect, where individuals and entities can purchase retail securities directly from Treasury at <http://treasurydirect.gov/>. Recently launched is the TreasuryDirect KIDS website, which engages children in grades 5 through 7 in the history and role of debt in America. The Bureau of the Public Debt has carried out a comprehensive public awareness campaign to raise awareness about TreasuryDirect using ads in publications, radio Public Service Announcements, online web banners, and search engine marketing which targets HR and payroll administrators, Federal, state, and local government employees, military and labor unions, and the general public.

Efforts to Comply with Section 508 Regarding Information Management

Treasury has implemented several efforts to ensure compliance with Section 508. In October 2009, the Office of the Chief Information Officer partnered with the Office of the Chief Human Capital Officer to host a two-day Treasury-wide Summit on disability and accessibility. The Summit was an opportunity to dispel attitudinal barriers that prevent the hiring of persons with disabilities and to understand the challenges they face. Breakout sessions on human resource issues, hiring, assistive technologies, as well as technology showcased achieved objectives to increase awareness of disability and accessibility challenges and resolutions.

Treasury’s transition to another phase of the enterprise-wide license for an accessibility tool was purchased in September 2008. Treasury bureaus and offices conduct self-scans of their primary and non-primary public websites for accessibility to comply with Section 508. Each quarter, the Office of the Chief Information Officer conducts comprehensive scans and reports results to bureau Section 508 coordinators, web masters, and their bureau Chief Information Officers, and requires remediation of noncompliant websites. For FY10, all public websites had to be a minimum of 90 percent accessible, and

a few bureaus reached 100 percent. A scorecard is maintained for each quarter. The Chief Information Officer granted an exception to the Federal Desktop Core Configuration (FDCC) to use the accessibility toolbar, a plug-in for Internet Explorer, to scan the Department's intranet sites and applications.

In FY10, the Department provided additional training opportunities for bureau and office Section 508 coordinators and webmasters on website accessibility which included training from the World Wide Web World Consortium. The Department hosted a forum on web captioning to discuss broadband and accessibility and the initiative. The Department's staff attended workshops sponsored by the U.S. Access Board on the new technical standards and provided comments on the proposed rule. An IRS employee is a member of the standards committee and briefed employees on the proposed changes.

Quantifying Cost Savings Achieved through Implementation of IT Programs

The Department projects MeF to return nearly \$1.5B in benefits through its life cycle. Each tax return received and processed electronically saves \$1.64. Across all return types, electronically filed returns have a less than one percent error rate compared to a five percent error rate for paper-filed returns. Error reduction speeds processing time and decreases necessary interaction between the IRS and the taxpayer.

MeF reduces the volume of paper tax returns that the Department must maintain in storage facilities for record retention purposes. The continued incorporation of additional forms and schedules onto the MeF platform will allow the IRS to retire the legacy e-File applications approximately one year after deployment of the final MeF release. After deployment of the final MeF release, currently planned for FY15 (assuming availability of funding), the IRS anticipates saving more than \$8M annually in operating and maintenance costs.

For example, in response to the direction from the Office of Management and Budget (OMB) for the Federal Data Center Consolidation Initiative (FDCCI), Treasury created its DCCI in August 2010. The DCCI addresses various challenges, such as producing the desired long-term impact on spending for a reliable network and cost-effective network contract vehicle, as well as immediately undergoing the establishments of the required IT resources for four new organizations, which are derived from the Wall Street Reform and Consumer Protection Act. With the goals of reducing energy consumption and achieving greater efficiency, the Department's IT investment management will be based upon considerations of the progress of consolidation efforts and be aligned with the administrative initiatives for Green IT and Real Property Management, as well as the consolidation of facilities and infrastructure to increase the Department's economies of scale.

The other E-Government initiatives are either still in implementation and have no cost savings and cost avoidance information to capture or are still in the process of capturing this information.

Department of State

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Department of State (State) Information Technology Strategic Plan is located at:

<http://www.state.gov/m/irm/rls/c39428.htm>.

The State Enterprise Architecture Transition Plan is located at:

<http://www.state.gov/m/irm/rls/110469.htm>.

Information Dissemination Management to the Public

State's FOIA website provides a number of public information access services at the following links:

- A list of State's major capital information technology investments at: <http://www.state.gov/m/irm/exhibit300s/>.
- A description of the Office of eDiplomacy's programs at: <http://www.state.gov/m/irm/ediplomacy>.
- A list of State's electronic information collections and information technology (IT) systems containing personally identifiable information at: <http://www.state.gov/m/a/ips/c24223.htm>.
- A description of what kinds of personal Information State maintains at: <http://www.state.gov/m/a/ips/c25533.htm>.
- The GPO Access / Government Information Locator Service Records (GILS) at: <http://www.gpoaccess.gov/databases.html>.
- The State's Records Disposition Schedules at: <http://www.state.gov/m/a/ips/c32492.htm>.

State also maintains an internal records management website that employees can use to answer records management questions. An informed staff improves State's ability to disseminate information to the public.

Improved Performance in Support of Agency Objectives and Strategic Goals

State provides performance information as part of its annual Congressional Budget Justification (CBJ). That and other kinds of performance information can be obtained on the Planning, Performance, and Budgets page of the *state.gov* website, located at: <http://www.state.gov/s/d/rm/c6113.htm>. In addition, the Department provides performance measures for IT investments on the IT Dashboard, located at: <http://it.USAspending.gov>.

Freedom of Information Act (FOIA) Compliance

- State's primary FOIA website, which also contains the FOIA handbook, is located at: <http://www.state.gov/m/a/ips/index.htm>.
- The link to the Department's Declassified/Released Document Collections (where frequently requested documents are made available) is <http://www.state.gov/m/a/ips/c22798.htm>.

Dissemination of Federal Research and Development (R&D) Funding to the Public

State does not perform R&D activities.

Dissemination of Formal Agency Agreements with External Entities to the Public

State has entered into the following formal agreements that complement the Department's information dissemination program:

- Federal Consulting Group, Department of Treasury, interagency agreement to provide the following services through commercial contractors:
 - Website assessments of broken links, external links to inappropriate content, etc., to improve user experience.
 - Email subscription service to provide the public with up-to-date news from State through GovDelivery. GovDelivery provides the Department with automated subscription services. Visitors to *state.gov* can choose from 45 different categories of information. When a new document is posted within that category, the subscriber receives an email that contains the newly posted information.
 - The American Customer Satisfaction Survey by the ForeSee Results provides customer feedback on defined website components, such as content and site performance.

- RightNow Technologies provides the Department with a webform-based Contact Us system to allow any visitor to *state.gov* to browse FAQs and submit unique questions, which are then responded to by both automated and personal replies.
- Brightcove hosts video content for State, providing an alternative means for the public to access critical information.
- State successfully negotiated Terms of Service Agreements concerning social media platforms, expanding the Department's presence where an increasing percentage of the general public accesses information
- In coordination with GSA, State negotiated a Terms of Service Agreement with IdeaScale to provide a commenting tool for the public to respond to the Open Government Initiative.

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

State's website that contains the publicly-posted records schedules is located at:

<http://www.state.gov/m/a/ips/c32492.htm>.

State fulfilled the IT scheduling requirements of NARA Bulletin 2006-02. The Department developed and implemented a NARA approved comprehensive plan to schedule all unscheduled program systems. The Department submitted records schedules to NARA for 12 IT systems in FY10.

Implementation of Electronic Signatures for Interoperability

State recently implemented a formal policy that validates the use of electronic signatures within the Department. This policy, which addresses the use, acceptability, and management of risks associated with electronic signatures, provides a roadmap that structures the deployment of such signatures for organizations within the Department.

At a higher level of security for users, State has implemented a high-assurance Public Key Infrastructure (PKI) that provides a robust and easily accessed system for signing documents digitally. Digital signatures are differentiated from electronic signatures by the fact that they are cryptographically generated and provide the maximum level of safety and non-repudiation available. The PKI is designed for users across the Department to sign diverse documentation. Because the certificates for use in this system are secured on FIPS 140-2 compliant tokens, users are protected from misuse of their credentials, further instilling trust in individuals' digital signatures when presented in electronic documents.

Currently, there are approximately 28 PKI-enabled applications and five under development at the Department. For example, the Department uses PKI to: encrypt and decrypt email exchanges between the Department and other agencies, enable the use of digital signatures in a range of routine e-Form documents and on-line applications, and to encrypt and decrypt information exchanges between the Department's Financial Center and various domestic and international banks.

Electronic Means of Enhancing Public Participation in Government

Through electronic means, State:

- Provides a standard of service to the public, increasing public responsiveness;
- Provides the public the ability to easily find, review, and comment on (with attachments) department regulations in a timely manner;
- Enhances the ability of the public to access department rules and supporting materials (e.g., cost studies);
- Provides the ability of the public to access and review documents in related dockets;

- Provides the ability for the public to view other public comments for a rule, providing others who wish to comment the opportunity to develop a more coherent, logical response;
- Provides a single solution providing shared services across the Federal Government, lowering costs to the public;
- Provides a single repository for documents and content, allowing for greater management of materials, and immediate accessibility to posted information;
- Provides the ability to enhance Federal Docket Management System (FDMS)/*Regulations.gov* architecture continually, thereby improving the public's experience and accessibility;
- Provides the public the ability to target documents open for comments through basic search, quick links, and advanced search capabilities; and
- Greatly improves the connection between the public and the Federal Government.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

State revised, published and implemented its Performance Measurement guidelines and template in June 2010. The Performance Measurement Guide outlines an approach to constructing, implementing, and managing performance measures. It focuses on incorporating feedback from key actors such as IT investment customers, stakeholders, and leaders. Understanding the information needs of these groups enables IT project managers to develop performance measures that enable decision-making related to achieving the Department's mission and business goals.

The Performance Measurement guideline assists State's major IT project managers in the development of performance measures that provide a clear understanding of the benefits of IT investments and the impact of the investments on the mission and business of the Department. The guidance was written for project managers, project sponsors and business owners who construct performance measures for IT investments as part of their responsibilities for acquiring, deploying, and managing IT investments. The Guidebook can also serve as an informational resource for stakeholders and customers interested in better understanding the Department's approach to performance measurement and their role within that process.

Reducing Errors through Electronic Submissions

- Program Offices submit documents to send to OMB in electronic format, avoiding transcription errors.
- Burden data is provided to Diplomats in Residence (DIR) through the use of e-Form documents so this information can be directly sent to OMB. Forms provide automatic calculation fields to eliminate errors.
- E-Forms documents sent to DIR have exclusion parameters to avoid duplications (i.e., some fields are locked out when other fields are filled in).
- Federal Register (FR) documents are provided in electronic format so direct submission to FR of these electronic documents eliminates transcription errors.
- Public comments are sent electronically to Program Office mailboxes, avoiding "snail mail" losses.
- Electronic documents provided for public comment requests eliminate errors that could be associated with verbal/phone responses.

Efforts to Comply with Section 508 Regarding Information Management

The IRM Program for Accessible Computer/Communication Technology (IMPACT) serves as the Department's resource for achieving electronic information technology (EIT) accessibility for all employees and customers. The program includes providing assistance to all bureaus in their

implementation of Section 508 of the Rehabilitation Act, which requires the Federal Government to make all EIT procured, maintained, or used by the Federal Government accessible to people with disabilities.

The IMPACT team conducts analysis, testing, and provides recommendations for the bureau's Section 508-compliant EIT products such as software/web applications, online documents, video and multimedia products. Established and required intra-agency collaborations include the IT Configuration Control Board (IMPACT technical reviews and analysis are an integral part of the approval process prior to deployment of products critical to the Department IT operations), the Office of Civil Rights (providing compliant quarterly reports of government disciplinary actions posted in the Internet), and the Office of the Inspector General's overseas inspection process (OIG overseas post inspections require IMPACT 508 compliancy evaluations of post websites). The IMPACT Outreach Lab provides information and training to customers about how to implement necessary steps to meet the requirements of Section 508. The IMPACT team also maintains websites to enable this information to be available "anytime/anywhere".

Quantifying Cost Savings Achieved through Implementation of IT Programs

Each of State's IT programs is a very cost-effective initiative that employs open source technologies and commercial-off-the-shelf (COTS) products to the maximum extent possible. The Department strives at all times to ensure that these programs are incurring minimal outlays for hardware, software, labor, training, and travel costs.

State has instituted a rigorous governance process to achieve cost savings and cost avoidance through IT. The E-Government Program Board (E-Gov PB), which leads this process, is composed of the Under Secretary for Management, who chairs the Board, and includes the Chief Information Officer (CIO), the Chief Financial Officer, Chief Procurement Officer, and Assistant Secretaries from a cross-section of geographic and functional bureaus. The Board must approve each major IT investment and reviews the investment at each significant decision point in the investment's lifecycle. In addition, the Board must approve the Department's annual IT budget request to the Office of Management and Budget.

Under the leadership of the E-Gov PB, the Department manages all IT programs, both major and minor investments, through the Capital Planning and Investment Control (CPIC) process. Each IT investment is reviewed annually for the validity of the business case and resource needs in comparison with other requests for funding. The Department's major IT investments are evaluated on three criteria with equal weight: (1) Risk Management (how well project risks are being managed); (2) Cost and Schedule Work Breakdown Structure (WBS) (how well the project's WBS is defined); and (3) Performance Measures (how well the project's performance is being managed). The results are submitted to the CIO for further review and analysis, and a decision to post to the IT Dashboard, which is available to the public at: <http://it.USAspending.gov>.

State's Global Information Technology Modernization (GITM) program is an excellent example of an IT program that has resulted in increased efficiency while controlling IT expenditures. GITM is the first-ever integrated, standardized, and centralized approach to enterprise-wide operating system deployment throughout the Department. The primary objective of GITM is to protect the Department's information technology (IT) investments, through modernization and deployment of unclassified and classified systems to the Department's worldwide locations consisting of over 285 overseas locations and multiple domestic sites.

In 2010, State took a major step toward achieving the goal of increased efficiencies and a standardized operating environment. Based on business requirements and high customer demand, in FY10, the Department established a number of Blanket Purchase Agreements (BPAs) to simplify the purchase of OpenNet Workstations, OpenNet Monitors, Tempested Equipment, Servers, and Data Storage Arrays.

The BPAs allow posts and domestic bureaus to purchase low, negotiated bulk rate, standardized Information Technology (IT) equipment. GITM supports, where applicable, Electronic Product Environmental Assessment Tool (EPEAT)-rated and Energy Star-compliant equipment. In accordance with the Department's decision in 2005 approving the GITM program as the Department's enterprise standard for IT equipment when purchasing with their own funds, all posts and domestic bureaus must procure GITM baseline equipment through these established BPAs regardless of fund source. Domestic bureaus receiving desktop services must coordinate all desktop and printer procurements with the Information Resources Management Bureau, which is responsible for the installation and support of consolidated bureaus. The requirement for all posts and bureaus to use the BPAs includes purchasing GITM baseline equipment outside of the normal GITM modernization cycle. This supplemental process does not replace the normal GITM modernization cycle, and GITM will continue to provide equipment on a four-year modernization lifecycle. The Department is currently working to create additional BPA vehicles for additional commonly purchased GITM-supported hardware in order to achieve further efficiencies and IT equipment standardization.

Department of Veterans Affairs

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Department of Veterans Affairs' (VA) Information Technology Strategic Plan is located at: <http://www.itstrategy.oit.va.gov/>.

The VA's Enterprise Architecture Transition Plan is located at: <http://www.ea.oit.va.gov/index.asp>.

Information Dissemination Management to the Public

- VA's final determinations, priorities, and schedules, including information dissemination product catalogs, directories and inventories are located at: <http://www1.va.gov/webinventory>.
- Public comments can be made via VA's on-line Inquiry Routing and Information System (IRIS): <https://iris.va.gov/>.
- The Veterans Benefits Administration (VBA) provides a direct link to a query system that allows the public to access resource materials relative to benefits located at: <http://www.warms.vba.va.gov/vbahome3bk.htm>.

Improved Performance in Support of Agency Objectives and Strategic Goals

The VA FY09 Performance Assessment Review (PAR) is currently posted to the VA internet site located at: <http://www4.va.gov/budget/report/>.

Freedom of Information Act (FOIA) Compliance

The FOIA handbook, frequently asked questions, FOIA annual reports, Chief FOIA Officer report, frequently requested documents, FOIA/privacy offices, and the electronic reading room are located at: <http://www.foia.va.gov/>.

Dissemination of Federal Research and Development (R&D) Funding to the Public

VA's public websites to disseminate research and development information to the public are located at: <http://www.research.va.gov/> and website <http://www.cider.research.va.gov/>.

Dissemination of Formal Agency Agreements with External Entities to the Public

Advisory committees are used extensively by VA to provide advice and guidance on a wide variety of programs that deliver benefits and services to our Nation's veterans. Advisory committees operate as another component of the "people's voice" in our democratic form of government. Some of VA's

advisory committees have been mandated by Congress to ensure that Federal laws, as carried out by the executive branch, are meeting their intended goals. Other VA committees have been created by the Secretary of Veterans Affairs to assess specific VA policies or programs.

Advisory committee members are generally acknowledged, by VA's leadership and members of the Veterans Affairs committees in Congress, as "consumer representatives" of those millions of beneficiaries whose lives are affected each year by VA programs. Advisory committees must operate in compliance with the Federal Advisory Committee Act (FACA). Advisory committee meetings at VA are generally open to the public, and notices of those meetings are published in the Federal Register.

One of VA's principal objectives in managing its advisory committees is to ensure that committee members appropriately reflect the diversity of American society and the veterans' population. Committee members are expected to have the technical, scientific and programmatic expertise demanded by the committees' areas of interest and emphasis. Committee members are also expected to offer unbiased advice and to comply with all Federal ethics standards. These are the advisory committees:

- Advisory Committee on Cemeteries and Memorials
- Clinical Science Research and Development Service Cooperative Studies Scientific Evaluation Committee
- Advisory Committee on Disability Compensation
- Veterans' Advisory Committee on Education
- Veterans' Advisory Committee on Environmental Hazards
- Advisory Committee on Former Prisoners of War
- Genomic Medicine Program Advisory Committee
- Geriatrics and Gerontology Advisory Committee
- Research Advisory Committee on Gulf War Veterans' Illnesses
- Advisory Committee on Gulf War Veterans
- Health Services Research and Development Service Merit Review Board
- Advisory Committee on Homeless Veterans
- Joint Biomedical Laboratory Research and Development and Clinical Science Research and Development Services Scientific Merit Review Board
- Advisory Committee on Minority Veterans
- National Research Advisory Council
- Advisory Committee on Prosthetics and Special Disabilities Programs
- Advisory Committee on the Readjustment of Veterans
- Veterans' Advisory Committee on Rehabilitation
- Rehabilitation Research and Development Service Scientific Merit Review Board
- Veterans' Rural Health Advisory Committee
- Special Medical Advisory Group
- Advisory Committee on Structural Safety of Department of Veterans Affairs Facilities
- Department of Veterans Affairs Voluntary Service National Advisory Committee
- Advisory Committee on Women Veterans

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

VA's Enterprise Records Service within the Office of Information and Technology has oversight responsibilities for a decentralized records management program in which each Administration and staff office maintains its respective Records Control Schedule (RCS). The following VA Record Control Schedules have been approved by NARA:

- Office of Information and Technology, RCS OI&T 005-1
- Veterans Health Administration, RCS 10-1
- Veterans Benefits Administration, RCS VB-1
- National Cemetery Administration, RCS
- Office of Budget and Finance RCS is contained in MP-4, part X

NARA Bulletin 2006-02 was disseminated to all applicable VA organizations for their respective implementation actions. To date, no additional systems requiring a NARA-approved RCS have been identified. Any additional systems will be scheduled and incorporated in one of the existing NARA-approved schedules.

Implementation of Electronic Signatures for Interoperability

VA implemented use of electronic signatures for appropriately secure electronic transactions through prescription services, disability claims processes, education entitlements, and additional benefits as identified on VA's online application website: <https://vabenefits.vba.va.gov/vonapp/main.asp>.

VA established a framework to allow efficient interoperability through VHA Directive 6210, Automated Information Systems (AIS) Security (3/7/00), VA policy-VA Information System Account and Password Management Policy and VA policy-Windows NT Enterprise Security Policy (1/21/00), and Policy Memorandum 00-179 Information System Access VistA/CPRS.

Electronic Means of Enhancing Public Participation in Government

VA is an active and successful participant in the Federal Government's Inter-Agency eRulemaking initiative. This E-Government initiative provides the public an opportunity to view and comment on all proposed VA regulations by visiting a single government website that displays VA regulations that have been published in the Federal Register and are open for public comment. VA uses the Federal Docket Management System to review and post public comments on the website, including those received by mail or other means. As a result, the public can actively participate in VA's rulemaking process while regulations are being developed. VA's Office of Regulation Policy and Management in the Office of the General Counsel has a website, located at <http://www1.va.gov/orpm/>, which links readers to the Electronic Code of Federal Regulations (eCFR) where all current VA regulations can be found. The site also lists all VA rulemaking documents published in the Federal Register since its establishment in 2004. It also provides convenient links to copies of those publications and other materials that may be of interest to the public.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

The Office of Information and Technology (OI&T) uses an eclectic approach to link performance goals to key stakeholders in delivering information and services. The first approach is the Program Management Accountability System, which requires all projects to deliver customer-facing functionality every six months. This function coupled with an existing management methodology enforces strict adherence to project milestones. In addition, OI&T uses the Monthly Performance Review forum to track internal performance goals and encourage collaboration amongst lateral departments to achieve goals within the stated parameters.

Reducing Errors through Electronic Submissions

Electronic forms and applications have been embedded with edits and numerous error checks to ensure the information being submitted meets minimal criteria to be processed. This helps to ensure that

information submitted is not rejected because of keystroke or data type errors such as entering non-numeric data in a field requiring numeric data.

Efforts to Comply with Section 508 Regarding Information Management

In FY10, the Section 508 Program Office within the Compliance Division doubled its testing and outreach capability when it signed a contract with a Service-Disabled Veteran-owned business to provide 508 validation services for VA. The increased staff will enable VA to participate more fully in the 16 Secretary Initiatives to ensure the programs and services developed by VA will allow the Veteran population, including disabled veterans, the ability to participate in these programs. The increased staffing will also allow VA to participate in integrated project teams (IPTs) that have a six-month development cycle and ensure 508 conformance in these projects.

The Section 508 Program Office also initiated two additional pilot projects to ensure 508 conformance on the web. The first of these projects involves VA's SharePoint sites. In August 2010, a contract was awarded to initiate a project to achieve compliance of 56 SharePoint sites that are currently active in VA's web environment. Working with VA personnel, the contractors will measure the compliance of these sites, remediate any 508 defects and validate the accessibility of the site content. Once this pilot is complete, VA expects to have a roadmap for SharePoint compliance in VA that can be extended to the other 600 SharePoint sites currently active within VA. The second pilot project involves conformance on the Internet/Intranet for VA Hypertext Markup Language (HTML) sites. Using FY10 funds, the 508 Program Office will execute a contract in early FY11 to study the compliance of VA Web HTML enterprise and the content on these sites. Similar to the SharePoint pilot, the Section 508 Program Office will receive metrics on the compliance of the web and will initiate the necessary training and support to move the VA web environment and its content to a more conformant environment.

Lastly, the Section 508 Program Office is engaged in procuring tools that developers can use to ensure better conformance of their products prior to deployment within VA's IT infrastructure. This includes specific Access Technology Tools which are currently being used by disabled employees and remediation software designed to test conformance of Web content and applications. To summarize VA's program goals, the 508 Program Office is procuring tools, services, and training support to improve the accessibility of its IT environment to 18,000 disabled individuals and the Veteran population.

Quantifying Cost Savings Achieved through Implementation of IT Programs

In June 2009, VA implemented the Program Management Accountability System (PMAS). Under PMAS, all projects must deliver customer-facing functionality every six months (or less) without exception. This rapid delivery approach, with names such as Incremental or Agile development, is already used extensively in the private sector, where they cannot afford to waste millions on IT projects that never deliver. VA combined rapid delivery with a management methodology that enforces strict adherence to project milestones.

In 2009, before PMAS, development projects at VA met their milestone dates an estimated 30 percent of the time. Today, they are meeting their project milestones over 80 percent of the time.

In 2010, VA had a cost avoidance of nearly \$200M by eliminating poorly performing projects and restructuring many others to lower risk, reducing spend rates, and introducing incremental development plans.

Environmental Protection Agency

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Environmental Protection Agency's (EPA) IT Strategic Plan: EPA is in the process of developing an updated IT Strategic Plan that is expected to be completed in FY11. The plan will establish an IT strategy that aligns with the Agency's priorities and communicates where EPA is going in the next three to five years. The plan will emphasize: (1) better employee services, (2) expanded investment management, (3) innovation, and (4) cybersecurity.

The EPA Enterprise Architecture Transition Plan is located at:

<http://www.epa.gov/oei/EPAEnterpriseTransitionPlanFY2009v1.4.pdf>.

Information Dissemination Management to the Public

EPA lists an inventory of information to be published at: <http://www.epa.gov/epahome/inventory.htm>.

In addition to the inventory of information site, EPA uses creative electronic means to reach out for public input and improve the dissemination of information. Below are a few highlighted programs:

- E-Rulemaking Exchange: <http://www.regulations.gov/exchange>.
- Open Government: <http://www.epa.gov/open/>
- Envirofacts: <http://www.epa.gov/envirofw/>
- Enforcement and Compliance History Online: <http://www.epa-echo.gov/echo/index.html>

Improved Performance in Support of Agency Objectives and Strategic Goals

The link below provides the set of measures EPA currently uses to measure performance of IT related enabling support programs: <http://www.epa.gov/ocfo/par/>.

Freedom of Information Act (FOIA) Compliance

- The EPA primary FOIA website is located at: <http://www.epa.gov/foia/>.
- EPA's FOIA handbook is located at: <http://www.epa.gov/foia/guide.html>.
- Documents that are frequently requested by the public under FOIA are located at: <http://www.epa.gov/foia/frequent.html>.

Dissemination of Federal Research and Development (R&D) Funding to the Public

EPA's public websites that disseminate research and development information to the public are located at:

- The Science Inventory: <http://www.epa.gov/si>
- EPA Office of Research and Development: <http://www.epa.gov/ord/>
- EPA's Research Centers and Laboratories: <http://www.epa.gov/aboutepa/index.html#labs>

The Science Inventory is linked to the Federal R&D Project Summaries located at <http://www.osti.gov/fedrnd> and to *Science.gov*. Both *Science.gov* and Federal R&D Project Summaries are housed within the Department of Energy's Office of Science and Technical Information.

Dissemination of Formal Agency Agreements with External Entities to the Public

EPA has made great strides in making business information in the areas of contracts, grants, and partnerships more accessible and transparent. Below are several links where EPA lists formal agreements with external entities:

- Memorandum of Understandings (MOU) with Tribes: <http://www.epa.gov/tribal/mous.htm>
- Office of Acquisition Management (OAM) website – Procurement Forecast Database: <http://www.epa.gov/oam/>
- MOU for EPA-Small Business Administration (SBA): http://www.sba.gov/idc/groups/public/documents/sba_program_office/8abd_env_protct_agency_2012.pdf
- Grants Awards Database: http://yosemite.epa.gov/oarm/igms_egf.nsf/HomePage?ReadForm
- Federal Business Opportunities: <https://www.fbo.gov/>
- *Fedbid.com*: <http://www.fedbid.com/>
- Ebuy: https://www.ebuy.gsa.gov/advgsa/advantage/ebuy/start_page.do
- Post-award Actions: https://www.fpds.gov/fpdsng_cms/

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

- EPA's website that contains the publicly-posted records schedules is located at: <http://www.epa.gov/records/policy/schedule/index.htm>
- EPA's NARA-approved records schedules are posted on EPA's intranet at: <http://intranet.epa.gov/records/schedule/index.htm>

With regard to NARA Bulletin 2006-02, EPA reviewed systems identified in its list of unscheduled systems submitted to NARA on October 31, 2006. A list of 464 unscheduled systems was submitted. As of the September 30, 2009, deadline, all identified electronic information systems were either approved or submitted to NARA. The FY10 status is as follows: six system schedules pending at NARA; fourteen systems added to existing, approved "big bucket" schedules; five system schedules deleted since they were superseded by newer schedules; and one system is being reviewed for scheduling (not part of the original 2006 report to NARA).

Implementation of Electronic Signatures for Interoperability

EPA's Cross-Media Electronic Reporting Regulation (CROMERR) and Central Data Exchange (CDX) system are the cornerstone of EPA's efforts to implement electronic reporting (e-reporting) and electronic signatures (e-signatures) across all of EPA's environmental programs. CROMERR, published October 13, 2005, sets uniform performance-based standards for legally viable e-reporting and e-signatures for all regulatory programs, including state, tribal and local government programs authorized under Title 40 of the code of Federal Regulations. The CROMERR standards are intended to assure electronic documents and associated e-signatures are authentic and valid and can be admitted as evidence in judicial proceedings; that they can be authenticated to provide evidence of what an individual submitted and/or attested to; and that e-signatures reasonably resist repudiation by the signatory.

CROMERR represents the Federal Government's first formal attempt to set general performance-based standards for electronic reporting systems and electronic signatures across an agency. For EPA, it represents a successful balance between addressing Federal enforcement business needs and ensuring that the rule's requirements do not pose significant obstacles to the adoption of e-reporting by both EPA and EPA-authorized programs. EPA's CDX system supports CROMERR by serving as the Agency's gateway for receiving electronic documents from the reporting community. CDX is designed to augment, streamline and consolidate EPA's environmental reporting functions by delivering a set of core interoperable services shared throughout the Agency that facilitate the reporting process. CDX also supports the Environmental Information Exchange Network that facilitates the electronic exchange of environmental data between EPA and state, tribal and local environmental agencies. The Exchange

Network employs a standards-based approach to performing transactions among trading partners allowing for interoperability across multiple platforms.

Electronic Means of Enhancing Public Participation in Government

Public participation in the regulatory process used to mean access to public comments via a physical visit to a “reading room” to review the paper record of a particular rulemaking. *Regulations.gov* allows instant access to all comments on all posted documents in a Federal rulemaking docket. The ready retrieval of regulatory documents, whether for simple public inquiry or ongoing litigation, has never been easier or more safely realized, as these documents are uniformly gathered through the Federal Docket Management System and stored according to the protocols required by the National Archives and Records Administration. *Regulations.gov* has been designed to include public access to the entire rulemaking docket; it utilizes a user-friendly web form to submit comments; allows for simple and sophisticated searches; generates reports on distinct metrics used by agencies for tracking and budgetary computations; and allows for bookmarking and email notification. The public has increasingly utilized *Regulations.gov*. In the past 5 years, public hits to the site have increased from approximately 60M per year to a projected 159M in 2010. Public online comments have increased from 16,600 per year to a projected 324,366 in 2010. Agency users have increased from 2,400 to a current total of 9,084. The number of documents/records preserved and readily accessible has increased 10-fold.

Regulations.gov contributes to government transparency, allows ready access to the public, and meets the requirements of the Administrative Procedure Act, the National Records Act, and the E-Government Act. Collectively, this multi-agency effort is projected to save between \$107 to \$138M over a five-year period through the elimination or avoidance of duplicative systems. EPA estimates that over 90 percent of the Federal Government utilizes the strengths of *Regulations.gov*. The public now has a one-stop shopping exercise to seek out regulatory actions of interest, read submitted documents that support such action, and make their comments on the proposed action with the click of their mouse. This program has been a success for both the public and the agencies with respect to participation and realized input into the regulatory process.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

EPA’s Strategic Plan directly sets concrete environmental goals for the Agency and establishes measures to estimate progress toward those goals. In addition to a set of goals and measures for environmental progress, EPA also measures the performance of specific enabling and support programs designed to support delivery of environmental results. E-Government initiatives provide enabling support to EPA’s environmental mission. By implementing technologies related to regulations, data transactions, electronic reporting, acquisitions, and grants.

A good example of how IT supports EPA’s Strategic Plan is the Central Data Exchange (CDX). CDX is EPA’s node, or point of entry, on the Environmental Information Exchange Network (Exchange Network) for environmental data exchanges to the Agency. CDX provides the capability for submitters to access their data through the use of web services, built-in quality checks, standard file formats, and a common, user-friendly approach to exchanging data. CDX enables EPA and participating program offices to work with stakeholders, including state, tribal, and local governments and regulated industries, to enable streamlined, electronic submission of data via the Internet. As part of EPA’s IT-based initiatives, CDX will help ensure both the public and regulators can access the information needed to document environmental performance, understand environmental conditions, and make sound decisions to protect the environment. CDX includes but is not limited to data exchanges related to the Grants LoB, Finance LoB and eRulemaking.

The Exchange Network Grant Program provides funding to states, territories, tribes, and inter-tribal consortia to develop the information technology and information management capabilities they need to actively participate in the Exchange Network. This grant program supports the exchange of environmental data and collaborative work within the Exchange Network and may also be used to fund the standardization, exchange and integration of geospatial information to address environmental, natural resource, and human health challenges. It is EPA policy to directly link work supported by assistance agreements to the Agency's mission and Strategic Plan. Grant proposals, assistance agreements, and work plans must all lead to outcomes that support environmental results. EPA recognizes that Exchange Network projects do not directly produce environmental results, and therefore evaluates proposals based on the major technical and non-technical outputs and outcomes of the proposed work.

Reducing Errors through Electronic Submissions

EPA has reduced errors in electronic submissions through quality assurance, use of standards, and increased use of web-based electronic reporting tools. Quality assurance ensures that common processes and validation services are in place as data is received via a centralized Exchange Network and transferred to agency systems. The Exchange Network environment relies on open standards including eXtensible Markup Language (XML) and provides automated services to validate the format of all submissions. EPA also leverages centralized, authoritative data systems for checking the quality and consistency of standardized facility, chemical and other related environmental information. EPA program and regional offices perform their own data quality assurance activities, further validating the information submitted electronically. Finally, EPA continues to promote use of new electronic reporting tools for data submitters. An example is the successful Internet-based system for collection of Discharge Monitoring Reports.

Efforts to Comply with Section 508 Regarding Information Management

EPA has a Section 508 program which includes a Section 508 Coordinator and Assistant Coordinator for the Agency. The Coordinators provide assistance to EPA managers and staff on Section 508 issues in a variety of ways. Many of the resources and tools are available on-line at <http://www.epa.gov/accessibility>, including an optional procurement checklist for managers who need to sign off on any IT procurement that involves Section 508 requirements as well as a toolkit on making websites and web-based applications accessible. The Coordinators also provide training and clarification of the Federal requirements and EPA's policy on Section 508.

Quantifying Cost Savings Achieved through Implementation of IT Programs

EPA is continually striving for cost savings and improved service through the implementation or improvement of IT programs. The E-Government Initiatives and Lines of Business have resulted in cost savings Government-wide by reducing redundant IT systems. *Regulations.gov*, for example, is projected to save between \$107 to \$138M over a five-year period through the elimination or avoidance of duplicative systems. EPA has also successfully migrated to Federal shared service centers for finance and travel.

In addition to working with EPA's Federal partners, EPA has also been working internally to consolidate and optimize IT systems. The Computer Room Server and Storage Management Initiative (CRSSM) is an example of recent progress. EPA's goal through the CRSSM initiative is to optimize infrastructure and efficiencies within existing hardware, software and application refresh cycles. This approach is based upon expert industry advice and a constrained IT budget. EPA's approach is designed to obtain the service delivery and performance benefits of virtualization and consolidation in a manner that leverages existing resources labor and capital resources.

General Services Administration

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The General Services Administration (GSA) Information Technology Strategic Plan is located at: <http://www.gsa.gov/portal/category/22445>.

The GSA Enterprise Architecture Transition Plan is located at: <http://www.gsa.gov/portal/content/105229>.

GSA's Enterprise Architecture documents are also posted at its Intranet, INSITE.

Information Dissemination Management to the Public

GSA's Exhibit 300s are posted on its public facing website: <http://www.gsa.gov/portal/content/105116>.

Also located at GSA's public facing website is the FY11 Congressional Justification, in which the E-Government appropriation is discussed on pages 133-138: <http://www.gsa.gov/portal/content/102463>.

GSA is a Managing Partner for nine E-Gov initiatives: Each E-Gov initiative's determinations, priorities, and schedules were provided to the Office of Management and Budget (OMB) on September 17, 2010, via GSA's Exhibit 300 submission.

Improved Performance in Support of Agency Objectives and Strategic Goals

GSA's IT investments are visible at *ITDashboard.gov*: <http://www.itdashboard.gov/?q=portfolios/agency=023>.

Freedom of Information Act (FOIA) Compliance

GSA's FOIA handbook, FOIA report, and online electronic FOIA request are located at the FOIA website at: <http://www.gsa.gov> and <http://www.gsa.gov/portal/content/104389>.

Dissemination of Federal Research and Development (R&D) Funding to the Public

GSA does not have R&D authority.

Dissemination of Formal Agency Agreements with External Entities to the Public

GSA's formal agency agreements with external entities to the public are located at:

- Contract solicitations are at <http://www.FBO.gov>
- Contract Award information are at <http://www.USAspending.gov>
- Software Terms of Services Agreements are at <http://forum.webcontent.gov>
- GSA Schedules Contracts are found at <http://www.gsa.gov/portal/content/104447>

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

The GSA website that contains the publicly-posted records schedules is located at: <http://w3.gsa.gov/web/c/file.nsf/4b6aaf8da00cdb5c85256325005e3d48?OpenView>.

The Records Program on the Open Gov page of <http://www.gsa.gov> is located at: <http://www.gsa.gov/portal/content/104098>.

GSA submitted a list of all major systems as defined by OMB in 2007, with recommendations for disposal and tentative identification of many as being covered under either the General Records Schedule, or by disposition authorities granted by NARA to GSA predecessor systems. GSA further proposed

disposition internally to the GSA organizations maintaining *USA.gov* and the Federal Real Property Reporting systems in 2008. GSA submitted two schedules in FY09 for minor systems, including the debarred bidders listing system, *gsa.gov* and *insite.gsa.gov*.

Implementation of Electronic Signatures for Interoperability

The Office of the Chief Information Officer (OCIO) formed a working group to address the adoption of digital signatures within GSA in April 2010. The working group:

- Reviewed the current usage of electronic or digital signatures within the agency;
- Assessed the capabilities of the various tools available to GSA users;
- Reviewed best practices;
- Reviewed laws and policy documents related to use of digital signatures within the Government;
- Heard from guest speakers from other agencies in the process of adopting digital signatures;
- Developed a roadmap for adoption of digital signatures within GSA;
- Drafted an Instructional Letter to be published by the CIO declaring digital signatures as the preferred method of signing documents; and
- Recommended changes to various existing policy documents such as the GSAM to clarify language concerning the signing of documents.

Next steps are as follows:

- Issue the Instructional Letter on usage of digital signatures (CIO);
- Ensure the dissemination of the Digital Signature Roadmap (CIO/Office of Citizen Services and Innovative Technologies);
- Develop training on how to incorporate digital signature fields in documents; and
- Investigate the use of a workflow package to route documents around for signature automatically instead of passing through email (unassigned).

Electronic Means of Enhancing Public Participation in Government

GSA always uses *Regulations.gov* to gain public comment on its GSA and Federal Acquisition Regulation (FAR) regulations.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

The GSA IT Strategic Business Plan planning, implementation, and measurement processes link performance goals and measures to key stakeholders and customers' needs/requirements, private sector best practices, other agencies' best practices, and alignment with other internal GSA operations in delivery of information and services through use of IT.

Reducing Errors through Electronic Submissions

Several of GSA's IT investment projects enable the automated completion of data via fields with self populating, auto calculating, and embedded business rules to speed the process of legacy paper or less sophisticated systems as well as to increase accuracy and effectiveness of the data and information being processed. Examples include the RISC/OIRA Consolidated Information System (ROCIS), E-Travel, Integrated Acquisition Environment (IAE) Federal-wide systems, and several back office internal applications.

GSA's PDF and Formnet Libraries of approximately 500 Standard, Optional, and GSA forms located at <http://www.gsa.gov/> forms are fillable, downloadable, XML-capable, 508-compliant, E-signature capable,

and may be submitted electronically. The PDF versions are Federal Desktop Core Configuration (FDCC)-compliant as well; that is, they are useable by any individuals via free software, which requires no IT Help Desk intervention.

GSA manages *USA.gov*, *Data.gov*, *Forms.gov*, and other websites that ensure the most current and accurate Federal information for the public to use in their daily lives in a variety of ways.

Efforts to Comply with Section 508 Regarding Information Management

In support of meeting Section 508 compliance, GSA has established initiatives in its FY10-FY12 IT Strategic Business Plan to help mature the Section 508 program by improving the way electronic and information technology (EIT) is developed, procured, maintained, or used in the agency. GSA developed a comprehensive regulation and accompanying handbook that articulates policy and procedures to help employees meet Section 508 compliance and conform to accessibility guidelines. GSA's goals for achieving Section 508 compliance agency wide are possible through the capture of defined metrics (such as tracking the number of EIT acquisitions in a quarter and the number of requests for technical assistance, support, and guidance); review of documents for the appropriate Section 508 language; testing of electronic documents for conformance to accessibility guidelines; and random sampling of GSA's local, Government-wide, and enterprise web systems' conformance to the Section 508 technical standards.

Quantifying Cost Savings Achieved through Implementation of IT Programs

E-Government Travel Service (ETS): Based on the latest ETS revitalized business case, the 10 year life-cycle net present value (NPV) benefits are as follows:

- Cost Savings (Transactional Savings) = \$52M
- Cost Avoidance (Productivity Benefits) = \$310M

USA Services: USA Services was institutionalized and transitioned to GSA's Office of Citizen Services and Innovative Technologies in the winter of 2008-09.

GSA creates a more citizen engaged government by enabling citizens to have easy access to accurate, consistent, and timely information, regardless of the source. The Office of Citizen Services and Innovative Technologies (OCSIT) ensures that citizens get this information via their channel of choice, ranging from Internet, phone, email, or print. These channels include the *USA.gov* and *GobiernoUSA.gov* portals, as well as a family of other consumer websites such as *Kids.gov* and *Pueblo.gsa.gov*. Other channels include the National Contact Center (NCC), which answers questions regarding Federal agencies, programs, benefits, or services via 1800 FED-INFO; e-mail and online inquiries; and a print publication distribution center in Pueblo, Colorado. OCSIT also provides a robust search capability through *USASearch.gov* which was significantly upgraded and improved this year. Currently, OCSIT is implementing social media and other Web 2.0 technologies to create a collaborative government with a state-of-the-art environment that will accommodate new ways of interacting with the public. Additionally, OCSIT provides a contracting vehicle, USA Contact Center, which provides Federal agencies with cost-saving approach to contracting for contact center services.

In addition to the savings that agencies receive when they use USA Contact Center, each bureau using the Center on a fee-for-service basis receives contact center services that result in additional cost savings by not having to run their own contact center. These agencies receive quality contact center services that provide enhanced customer service capabilities for their customers.

The following information provides number of calls and emails answered for GSA and its partner agencies in FY10 through August 31:

- 555,981 Calls Answered for the State Department - Overseas Citizen Services
- 32,969 Emails Answered for the Department of Interior - Fish & Wildlife
- 4,380 Emails Answered for the Department of Labor - *GovBenefits.gov*
- 1,032,650 Calls Answered for GSA - OCSIT Programs
- 33,820 Emails Answered for GSA - OCSIT Programs

OCSIT stakeholders consist not only of GSA’s partner agencies using its fee-for-service and USA Contact programs, but also the general public. OCSIT hosts and manages the following citizen-facing programs: *USA.gov*, *Kids.gov*, *Forms.gov*, *GSA.gov*, *GobiernoUSA.gov*, *consumeraction.gov*, *USA.gov* Search, *Answers.USA.gov*, Pueblo Colorado Publications, the contact center cost calculator and the 1-800 FED INFO contact center. OCSIT also manages Web Manager University, which trains government web managers.

A summary of GSA’s cost savings for its OCIST activities for FY10 through August 31:

Services Available	FY10 Cost Saving
Misdirects	\$565,816
Tier 1 & IVR	\$962,008
USA Contact	\$6,238,947
<i>USA.gov</i> Search	\$502,941
FAQ	\$2,430,726
1-800-FED-INFO	\$5,078,415
Cost Calculator	\$32,643
Web Managers University	\$235,000
FY10 Total Savings	\$16,046,496

Total cost savings over six years from 2005-2010 now equals \$136M.

USAspending.gov: This system has saved the Federal Government agencies considerable funds and effort by having a single construct where individual agencies can report their contracts and grants-related financial data, with other pertinent data extracted through other existing systems. If each Federal agency had to provide its own capabilities to do so, it would have cost the entire Federal Government more than \$75M annually (estimate) to support development costs for these websites. Additional funding would have been needed for staff (Full-time Equivalents (FTE)) to provide support for, and, administer these websites as well. Total cost savings including infrastructure, hardware, systems support, development costs, provide management, administration and other support are estimated at more than \$100M in total costs saved. Therefore, as a whole, the Federal Government agencies have saved more than \$100M in cost avoidance by having *USAspending.gov*.

Integrated Acquisition Environment (IAE): As in previous years, IAE's benefits analysis of FY10 transactions will wait for the end of FY numbers to stabilize for two weeks after the end of the fiscal year, at which time IAE will update the narratives with analysis results and distribute to the agencies for

coordination and report to OMB. Since the IAE-Loans and Grants Initiative does not provide systems, there is no agency coordination needed, and the IAE Initiatives systems/services capture the benefits.

Data.gov: *Data.gov* brings a brand new capability to the Federal Government, so at this point in its lifecycle, there have been no identifiable cost savings. By pursuing a technical architecture utilizing cloud computing, *Data.gov* was able to avoid the cost of a more traditional hosting environment. This cost avoidance is estimated at over \$6M per year (\$4M per year actual cost for cloud, vs. \$10.6M per year estimated for centralized hosting).

GSA anticipates that in the next year costs savings and cost avoidance will be visible for its shared data hosting environment for those agencies that take advantage of the shared dataset hosting and download service with *Data.gov* rather than build or expand their own storage. The amount of cost saving/avoidance will depend on the volume of data being hosted.

Federal Cloud Computing Initiative (Apps.gov, Federal Data Center Consolidation Initiative, Software as a Service – Email, FedRAMP (Security as a Service)): The Federal Cloud Computing Initiative is charged with developing a strategic approach to enable the adoption of cloud computing solutions throughout the Federal government. This program has concentrated on key areas: Apps.gov, , Software as a Service – Email, and Federal Risk and Authorization Management Program (FedRAMP) (Security as a Service). To date, this program has developed a government-wide storefront to purchase cloud applications, awarded a contract to purchase infrastructure as a service as commodities, a request for information (RFI) for cloud E-mail as a service, draft FedRAMP documentation, and working with agencies to develop data center consolidation plans. This program is expected to deliver greater infrastructure efficiencies by eliminating redundant and underutilized data centers, increase the Federal government's security posture through common cloud security assessments and accreditations, improve the government's buying power through better use of aggregated services, and reduce adverse environmental impacts. This program is expected to advance major goals towards creating an Open Government, and encourage broad involvement and participation in Government decisions through the use of information technology. Forecasted cost avoidance associated with FedRAMP is based on the estimate of \$150,000 per security authorization leveraged by other agencies. Without FedRAMP four agencies would have to each spend approximately \$150,000 each to do the security assessment to authorize Product A for use in their agency for a total of \$600,000. With FedRAMP, only \$150,000 would have to be spent once to authorize Product A and the three additional agencies would be able to leverage it for free. In this case a saving of \$450,000, or \$150,000 per Assessment and Accreditation, would be realized.

National Aeronautics and Space Administration

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The National Aeronautics and Space Administration (NASA) Information Technology Strategic Plan is located at: http://www.nasa.gov/pdf/282056main_IRM_Strat_Plan_2010.pdf.

The NASA Enterprise Architecture Transition Plan is located at:

http://www.nasa.gov/pdf/282059main_NASAEnterpriseTransitionPlanv3.2FINAL.pdf.

Information Dissemination Management to the Public

NASA organizes and categorizes information intended for public access on their website located at: http://www.nasa.gov/about/contact/information_inventories_schedules.html.

This link has been propagated throughout most of NASA's public web pages. Members of the public can provide input into how NASA disseminates information through the web portal by using the "comments" link on the Contact NASA page: <http://www.nasa.gov/about/contact/index.html>.

NASA is committed to not only sharing information with the public, but also ensuring the quality of the information. Information about NASA's commitment to quality of scientific and technical information, including the relevant processes can be found in the "NASA Guidelines for Quality of Information", located at: <http://www.sti.nasa.gov/qualinfo.html>.

Improved Performance in Support of Agency Objectives and Strategic Goals

NASA's performance plan can be found at the following link:

http://www.nasa.gov/pdf/478265main_FY10_Performance_Plan_Update.pdf.

In addition, NASA's FY09 Performance and Accountability Report can be found at the following location: http://www.nasa.gov/pdf/403618main_NASA_FY09_Performance_Accountability_Report.pdf.

Freedom of Information Act (FOIA) Compliance

- NASA's primary FOIA website is located at: <http://www.hq.nasa.gov/office/pao/FOIA/agency/>.
- The NASA FOIA handbook is located at: http://www.hq.nasa.gov/office/pao/FOIA/EO_FOIA_Ref_Guide.pdf.
- Documents that are frequently requested by the public under FOIA are located at: <http://www.hq.nasa.gov/office/pao/FOIA/agency/>.

Additionally, each NASA FOIA Requester Service Center has and maintains separate electronic reading rooms, which contain records posted that have been previously released.

Dissemination of Federal Research and Development (R&D) Funding to the Public

The NASA Technical Report Server (NTRS) is a comprehensive source of NASA's current and historical federally funded R&D aerospace research and engineering results, located at: <http://ntrs.nasa.gov/>.

Dissemination of Formal Agency Agreements with External Entities to the Public

NASA utilizes its Space Act Agreement Maker (SAAM) system to facilitate common business practices in the agreement process for non-international agreements, as well as to consolidate and centralize the management of agreements through a common web-based solution.⁷ SAAM provides a single web-based resource where information about all NASA non-international agreements can be placed. NASA publicizes all of its major Space Act agreements that promote increased information sharing. Some current examples of NASA agreements to improve the dissemination of Agency information to the general public include:

- Through <http://www.nasaimages.org>, anyone has free access NASA's vast collection to download, embed, share and create collections, including HD video. It offers unprecedented access to the largest collection of NASA media from a single, searchable site. NASA Images is constantly growing with the addition of current media from NASA, as well as newly digitized media from the archives of the NASA Centers.
- Through the NASA Web Portal, millions of Internet users now have access to live streaming of

⁷ International agreements are stored in the System for International External Relations Agreements (SIERA), which is managed by NASA's Office of External Relations.

NASA TV mission coverage in Windows Media format including the Space Shuttle and International Space Station Missions and Expeditions.

- High-resolution scientific images and data from Mars and the moon are available to the public via an online virtual telescope. NASA's Ames Research Center will process and host more than 100 terabytes of data, enough to fill 20,000 DVDs that the online virtual telescope will incorporate and feature for the public, including imagery from NASA's Mars Reconnaissance Orbiter (MRO). Launched in August 2005, MRO has been examining Mars with a high-resolution camera and five other instruments since 2006 and has returned more data than all other Mars missions combined.
- NASA created a website where Internet users can have fun while advancing their knowledge of Mars. Drawing on observations from NASA's Mars missions, the "Be a Martian" website (<http://beamartian.jpl.nasa.gov/welcome>) will enable the public to participate as citizen scientists to improve Martian maps, take part in research tasks, and assist Mars science teams studying data about the Red Planet. The collaboration of thousands of participants could assist scientists in producing far better maps, smoother zoom-in views, and make for easier interpretation of Martian surface changes. By contributing, website users will win game points assigned to a robotic animal avatar they select. The site also beckons software developers to win prizes for creating tools that provide access to and analysis of hundreds of thousands of Mars images for online, classroom and Mars mission team use. To encourage more public participation, the site also provides a virtual town hall forum where users can expand their knowledge by proposing Mars questions and voting on which are the most interesting to the community.
- The Gigapan Project, a robotic platform for creating, sharing, and annotating terrestrial gigapixel images helped provide high-resolution, three-dimensional views of Mars to the public via an interactive online platform. Besides providing a rich, immersive 3D view of Mars that will aid public understanding of Mars science it also gives researchers a platform for sharing data. Users can fly virtually through enormous canyons and scale huge mountains on Mars that are much larger than any found on Earth. Users also can explore the Red Planet through the eyes of the Mars rovers and other Mars missions, providing a unique perspective of the entire planet.
- Planetary Skin was developed in 2009 as a marriage of satellites, land sensors, and the Internet, to capture, analyze and interpret global environmental data. What happens to Earth when a forest is razed or energy use soars? NASA does not know because environmental data are collected by isolated sources, making it impossible to see the whole picture. Planetary Skin, a global "nervous system" that will integrate land-, sea-, air- and space-based sensors, will help the public and private sectors make decisions to prevent and adapt to climate change. The pilot project will track where and how much carbon is held by rain forests.

One of the primary areas that NASA uses to enter agreements to disseminate its information is through the Agency's Office of Education. NASA's Office of Education (OE) uses different types of communication technologies to present information in ways that target audiences are best able and most willing, to access it. From information disseminated via the web, to remote control of scientific instruments, to learning in virtual worlds, NASA Education is making extensive use of tele-education and telepresence technologies to enable the public to participate in NASA's missions. Tele-presence technologies enable cost-effective distribution of both education resources and information about NASA's missions and technological/scientific advances.

Providing content through telepresence technologies keeps NASA current with the technology and tools preferred by a new generation of Americans, and allows a high degree of interactivity between participants, regardless of geographic distance. The NASA Education website is a gateway for students, teachers, parents, and the general public to access reader-friendly information about NASA's mission and

upcoming student opportunities. Social networks facilitate collaboration between students and educators, regardless of distance. Online tools build a new generation of “citizen scientists” that pose scientific questions and seek answers when they collect data from earth-orbiting science instruments or astronomical observatories. NASA is even providing education activities in a whole new virtual world.

The Internet is powerful tool for accessing large audiences across the nation and across the globe. NASA education pages on the NASA website logged over 54M individual page views in FY09. From this site, students and teachers have access to age and grade appropriate curricular resources for the classroom, articles about NASA missions, polls and contests, downloadable vodcasts and podcasts, and information about NASA TV programming. Special events are often simulcast on the NASA education website and NASA TV. A listserv delivers periodic updates and announcements of special opportunities to educators registered through the EXPRESS email service.

Complex personal engagements and online collaborations among participants are accomplished through NASA activities based in social networking, learning in virtual worlds, and other telepresence technologies. Broad use of social network sites and the creation of new user communities with a specific common interest in a NASA-themed topic allow NASA to reach new student audiences. On-line collaborative tools model NASA’s work culture of teamwork to achieve mission objectives. These resources facilitate peer-to-peer interactions and allow students and teachers to engage directly with NASA content experts.

- The NASA Student Ambassadors Virtual Community fosters greater interaction, collaboration and mentoring relationships among interns and fellows from NASA higher education projects.
- The Interdisciplinary Science Project Incorporating Research Experience (INSPIRE) includes the On-Line Community (OLC), which provides a place for INSPIRE students to interact with their peers, NASA experts, and education specialists.
- The Endeavor Science Teacher Certificate Project (ESTCP) is an online teacher’s certificate project designed to give teachers the cutting-edge tools necessary to contribute to the development of a Science, Technology, Engineering, and Mathematics (STEM) workforce.
- NASA’s Museum Alliance is an online community-of-practice consisting of 350+ museums, science centers, planetariums, observatories, zoos, aquariums, parks, and nature centers throughout the nation. Through the Museum Alliance website, members have direct access to Agency-wide content from missions, materials, resources, teleconferences, videoconferences, artifacts and news releases in order to help them share NASA’s exploration mission with the American public.
- NASA’s massively multiplayer online STEM learning game was released on July 6, 2010. The Moon-Base Alpha game uses real NASA Constellation data as the framework behind STEM learning.
- The Digital Learning Network (DLN) is an Agency-wide education infrastructure enabling two-way audio/video conferences and live interaction between classrooms and NASA personnel.
- ISS EarthKAM enables middle schools students to remotely direct a camera on the ISS to capture real times images of Earth. The image collection and accompanying learning guides and activities support classroom investigations in Earth science, space science, geography, social studies, mathematics, and communications.
- NASA eEducation Island in Second Life includes the virtual facilities of NASA eEducation Island, Explorer Island, Lunar Explorer Island, MoonWorld and Space CoLab. At these virtual sites, the public and educators explore NASA content, participate in profession development workshops on NASA STEM education materials, remotely attend launches and mission event, and interact directly with NASA personnel.

- NASA is launching new efforts to encourage students to pursue studies in science, technology, engineering, and mathematics. More information about the challenges is located at: <http://www.nasa.gov/buzzoniss>.

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

The NASA website that contains the publicly-posted records schedules is located at:

<http://nodis3.gsfc.nasa.gov/displayDir.cfm?t=NPR&c=1441&s=1D>.

NASA finalized an inventory of its electronic information systems and determined whether they contain Federal records, and whether proper retention schedules already existed. Of the 2,187 information systems identified in the Agency, 1,330 were determined to contain records, 1,042 of which already had appropriate retention schedules. All the systems were divided into 54 subject categories and schedules developed or revised for submission to NARA where necessary for the records within the system to be covered. The Agency now has existing or requested schedules for 94.4 percent of the systems in this category.

In working toward the NARA Bulletin 2006-02 goal of retention schedules for records in all electronic information systems, NASA submitted for NARA approval in FY10 an additional schedule request raising NASA's total to 1,150 systems containing NASA records covered by retention schedules (including those pending NARA approval). The Agency continues work on developing proposed schedules for the remaining 5.6 percent of the subject categories of systems.

Implementation of Electronic Signatures for Interoperability

NASA has replaced its Center-based, x.500 infrastructure for Public Key Infrastructure (PKI) certificate discovery and validation with the NASA Enterprise Directory, which is fed directly from the authoritative source of all identities for Personal Identity Verification (PIV) smartcard issuance and access management. This change has allowed for more seamless integration of encrypted and electronically signed e-mail throughout NASA. Now that the revised NIST SP 800-73 provides guidance for management of key history on PIV smartcards, NASA intends to prototype the inclusion of encryption and signing certificates on their PIV smartcards in FY11. The inclusion of encryption and signing certificates on smartcards will provide enhanced capability to facilitate expanded use of electronic signatures in future applications.

Electronic Means of Enhancing Public Participation in Government

NASA's benefits for the E-Rulemaking initiative are largely focused on public benefits. One-stop access to NASA and other Federal agency information on rulemakings and non-rulemaking activities is included in the more than 2M documents posted on *Regulations.gov*. The rate at which the public uses *Regulations.gov* to submit comments (known as public submissions) is increasing rapidly. The public initially submitted about 1,000 comments per month during the first 18 months of the public site. Now, the public submits nearly 40,000 comments per month. The public has also visited *Regulations.gov* more than 200M times, averaging 5M hits per month in 2006, 6.2M in 2007, and 12.5M in 2008.

NASA benefits in several ways through its participation and reliance on Federal Docket Management System (FDMS) and *Regulations.gov*. NASA reaps substantial benefits by improving the transparency of its rulemaking actions as well as increasing public participation in the regulatory process. Direct budget cost savings and cost avoidance result from NASA's transition to FDMS and *Regulations.gov*, enabling the Agency to discontinue efforts to develop, deploy, and operate specific individual online docket and public comment systems. Over a five year period, NASA is estimated to save over \$700,000 over alternative options that would provide similar services.

Another approach that NASA is using to engage the public is OpenNASA (<http://www.opennasa.com>), a collaboratively written public blog by NASA employees about the Agency that presents open, transparent, and direct communication about the space program. Team OpenNASA shares lessons learned, and what others can learn from them. Because the OpenNASA authors blog on their own time (and therefore do not represent NASA), the site allows a dialog to occur not only within the internal NASA community but also between the public and NASA. The goal of OpenNASA is to help the Agency become more transparent, authentic and direct with its communication to the public, to help create a participatory space agency.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

Performance goals are documented as part of the NASA Information Resources Management (IRM) Strategic Plan, posted online at: http://www.nasa.gov/pdf/282056main_IRM_Strat_Plan_2010.pdf. Updated in April 2010, the plan reflects the strategies, goals, and objectives required for the strategic management of information and IT, directly contributing to mission success for the Agency.

In addition, the NASA CIO has chartered the following governance boards to assist with strategic and performance management of IT investments:

- The IT Strategy and Investment Board (SIB) makes decisions regarding IT strategy, investments (prioritization and selection), Enterprise Architecture, and NASA-wide IT policies-processes. SIB members include senior level members from Mission Directorates, Mission Support Offices, and Centers. The SIB focuses on developing strategic guidance that will serve NASA today and enable its missions going forward.
- The IT Program Management Board (PMB) provides executive oversight and makes decisions regarding application and infrastructure projects to ensure that investments approved by the IT Strategy and Investment board stay on track during formulation and implementation. PMB members include program/project management representatives from several Mission Directorates and Centers.
- The IT Management Board (ITMB) makes decisions regarding performance, integration, and other issues. Members include senior leaders within NASA's CIO community.

Reducing Errors through Electronic Submissions

Instead of manually entering data directly into the E-Government Federal Procurement Data System – Next Generation (FPDS-NG), NASA utilizes its interface from the Contracts Management Module (CMM-PRISM) to populate the majority of the required data fields. NASA is also the only Agency that reports its grants data to FPDS-NG and the majority of the required Grants data is fed to FPDS-NG through a custom NASA interface from CMM-PRISM. These interfaces promote more timely and accurate data reporting. NASA Office of Procurement and the Center Procurement Offices utilize the policy guidance contained within NASA FAR Supplement 1804.6, Contract Reporting, to ensure the integrity of data reported to FPDS-NG.

CMM-PRISM also includes an interface to E-Gov Online Representation and Certifications (ORCA) website which enables the NASA Contract Specialist to ensure that potential awardees are in compliance with the Federal Acquisition Regulation (FAR) requirements prior to award. The interface allows the Contract Specialist to download Contractors ORCA data for inclusion in their electronic award document in CMM-PRISM or print it out for hard copy files.

NASA also implemented an interface between Synthesis and Assessment Product (SAP), its financial system, to the E-Government Central Contractor Registry (CCR) for Procurement and Financial purposes. The contractor data fed into SAP is interfaced to CMM-PRISM for contract specialists' use with making awards or modifying existing awards. This process allows contract specialists to review CCR compliance during the pre-award phase and through contract execution to ensure its vendors are registered and that their registration is kept up to date.

In support of the Open Government initiative and as required by the Federal Funding Accounting and Transparency Act (FFATA), the NASA Acquisition Internet Service (NAIS) team developed automated data collection solutions to improve data quality for reporting Agency Procurement and Financial data with electronic submissions to *USAspending.gov*.

Efforts to Comply with Section 508 Regarding Information Management

NASA has an Agency Section 508 Coordinator and Section 508 Coordinators designated for each of its centers. Each Center Section 508 Coordinator provides technical guidance and assistance towards the analysis and evaluation of Electronic and Information Technology (EIT) for compliance with Section 508 at their location. An Agency website has been developed, including FAQs, training, and guidance materials to include website development techniques, a list of best practices for electronic documents, and guides for electronic information creation and editing. In addition, a centralized Section 508 Help Desk has been established to further assist the Agency with understanding Section 508 requirements and ensuring all EIT developed, procured, maintained, or used by NASA is compliant with Section 508.

NASA is currently in the process of establishing a Section 508 policy and in-depth training materials. Part of this process includes developing an online awareness training module which has been piloted to select organizations and working groups within NASA, to include Information Technology managers, developers, and creators. In addition, a Section 508 Working Group has been instituted, by the NASA Office of the Chief Information Officer (OCIO), which includes all Section 508 Coordinators and agency partners, like the Office of Procurement and Office of the General Counsel, to ensure key individuals within the Agency remain aware of vital information related to Section 508.

Quantifying Cost Savings Achieved through Implementation of IT Programs

NASA has made efforts to implement programs that result in either cost savings or cost avoidance. One example was the establishment of an enterprise licensing office at the NASA Shared Services Center (NSSC) that manages 375,000 licenses across eight product suites, resulting in \$4.5M in cost savings/avoidance for the Agency. These efforts were recently recognized with the NASA Acquisition Improvement Award and on the White House website at:

http://www.whitehouse.gov/omb/procurement_index_gov_contracting/#achievements.

Another example is the development of an Agency-wide Emergency Notification System (ENS). Although several NASA organizations had implemented their own individual applications, it was decided to implement a NASA-wide solution. The development and operational costs for the agency-wide ENS solution are estimated at between \$2.9M to \$4.5M over ten years, in comparison to \$5.7M to maintain the legacy systems being replaced. It was also estimated that not having an enterprise solution could have increased operational costs to \$9.5M over 10 years if other NASA organizations had deployed similar independent applications to meet these core requirements.

Nuclear Regulatory Commission

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Nuclear Regulatory Commission (NRC) Information Technology Strategic Plan is located at: <http://www.nrc.gov/reading-rm/doc-collections/nuregs/staff/sr1614/v4/sr1614v4.pdf>.

NRC's IT Roadmap, most recently revised in March 2010, is the EA transition strategy for the agency. The agency is in the process of updating this document to better reflect the current and planned modernization initiatives as well as other relevant Office of Management and Budget (OMB) E-Government priorities.

Information Dissemination Management to the Public

NRC disseminates information to the public through the following sites:

- Get Copies of Documents (<http://www.nrc.gov/reading-rm/copies-docs.html>)
- FOIA Guide (<http://www.nrc.gov/reading-rm/foia/foia-request.html>)
- NUREG/BR-0010, Revision 4, "Citizen's Guide to U.S. Nuclear Regulatory Commission Information," issued August 2003 (<http://www.nrc.gov/reading-rm/doc-collections/nuregs/brochures/br0010/index.html>)
- Government Information Locator Service (<http://www.nrc.gov/reading-rm/doc-collections/gils/index.html>)
- Privacy Act Systems of Records (<http://www.nrc.gov/reading-rm/foia/privacy-systems.html>)
- Privacy Impact Assessments (<http://www.nrc.gov/about-nrc/plans/privacy-impact-assess.html>)
- Public Meeting Schedule (<http://www.nrc.gov/public-involve/public-meetings/index.cfm>)
- Information collection requirements (<http://www.nrc.gov/public-involve/doc-comment/omb/index.html>)

Improved Performance in Support of Agency Objectives and Strategic Goals

NRC's Performance and Accountability Report is located at: <http://www.nrc.gov/reading-rm/doc-collections/nuregs/staff/sr1542/v15/>.

The NRC website "Our Plans, Budget, and Performance" is located at: <http://www.nrc.gov/about-nrc/plans-performance.html>.

Freedom of Information Act (FOIA) Compliance

- NRC's primary FOIA website is located at: <http://www.nrc.gov/reading-rm/foia/foia-privacy.html>.
- The NRC FOIA handbook is located at: <http://www.nrc.gov/reading-rm/foia/foia-request.html>.
- Documents that are frequently requested by the public under FOIA are located at: <http://www.nrc.gov/reading-rm/foia/records.html>.
- Recent FOIA Requests are located at: <http://www.nrc.gov/reading-rm/foia/recent-request.html>.
- An Index of Closed FOIA/Privacy Act Requests by Subject is located at: <http://www.nrc.gov/reading-rm/foia/closed-request.html>.

Dissemination of Federal Research and Development (R&D) Funding to the Public

NRC's public website as a whole (<http://www.nrc.gov>) disseminates R&D information to the public, specifically through the following pages:

- NUREG-series contractor reports (<http://www.nrc.gov/reading-rm/doc-collections/nuregs/contract/index.html>)
- Research activities (<http://www.nrc.gov/about-nrc/regulatory/research.html>)

The website provides information about federally funded R&D as well as the results of Federal research.

Dissemination of Formal Agency Agreements with External Entities to the Public

NRC has formal agency agreements with several external entities that complement NRC's information dissemination program. NRC uses the U.S. Government Printing Office's agreement in place to participate in the Federal Depository Library Program and its sales program. NRC also is required to send to the Library of Congress File Center 15 copies of all its published Nuclear Regulatory Commission Regulations (NUREGs). The agency also supplies publications to the National Technical Information Service, which provides another point of public access for users.

The U.S. Department of the Interior/Federal Consulting Group provides an online customer satisfaction survey for users of the NRC public website. The NRC uses the results of this survey in planning for and prioritizing improvements to the site.

The agency also contracts with Online Video Service for Web streaming of all Commission meetings and some public meetings.

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

The NRC website that contains the publicly-posted records schedules is located at:
<http://www.nrc.gov/reading-rm/records-mgmt/disposition.html>.

NRC Management Directive 3.53, "NRC Records and Document Management Program," dated March 15, 2007, does not report on the actual transfer of electronic records but does include instructions on implementation requirements for format and media. It is located at:
<http://adamswebsearch2.nrc.gov/idmws/ViewDocByAccession.asp?AccessionNumber=ML071160026>.

NRC submitted two records retention schedules to NARA in FY10, covering electronic records for the Financial Accounting and Integrated Management Information System (FAIMIS) and paper and electronic records for the Office of the Inspector General (OIG). NARA approved the FAIMIS schedule in August 2010. Fifteen retention schedules for electronic record systems are pending approval at NARA; the OIG records schedule submitted in 2010 and 14 submitted in prior years. NRC develops additional records schedules as needed based on information derived from a biannual data call and privacy impact assessments.

Implementation of Electronic Signatures for Interoperability

NRC launched an electronic signature program in 1999 to support electronic submittals under Title 10 of the Code of Federal Regulations (10 CFR) Part 50, "Domestic Licensing of Production and Utilization Facilities." The electronic signatures were an enhancement to NRC's existing electronic communications program and in response to the Government Paperwork Elimination Act of 1998 that required agencies to accept electronic signatures by 2003. For its electronic signature program, the NRC implemented Public Key Infrastructure (PKI) digital signatures using X.509 standards-based digital certificates. NRC selected an outsourced PKI hosting and management service from VeriSign, Inc., to supply the digital certificates. In 2004, the General Services Administration adopted this model of PKI service delivery to Federal agencies for its PKI Shared Service Provider program that was mandated by OMB for all agencies

implementing PKI in its December 20, 2005 Memorandum M-05-05, “Electronic Signatures: How to Mitigate the Risk of Commercial Managed Services.”

For its electronic signature program, NRC elected to fund the PKI service and provide the digital certificates free of charge to approved participants in the regulatory process. Persons who desired to submit forms and documents electronically used their digital certificate to authenticate to the NRC Electronic Information Exchange (EIE) system and to digitally sign their electronic submittal form. To accomplish this PKI digital signature in 1999, NRC used a proprietary forms application from IBM, also provided to participants without charge. The digital signature added data integrity to each electronic submittal, allowing NRC staff and administrative judges to have full confidence that submitted content was not modified during transit or processing. Both the EIE and the original PKI service, although modified and expanded, are still in regular use at NRC today. As of August 2010, 707 external individuals have active NRC digital certificates that use this digital signature process.

In pursuit of efficient interoperability between Federal agencies, NRC has engaged in ongoing dialogue with the Government Printing Office and the Office of the Federal Register to participate in the program for electronic submission of notices for publication. The Federal Register program accepts electronic submissions that are digitally signed using the RSA Public Key Certificate Services (PKCS) #7 format only. To date, NRC has not had the capability to produce digital signatures that meet this Federal Register specification and so has been unable to participate in a valuable program. NRC continues to search for a way to comply with the Federal Register requirements. The recent release of a PKCS #7 signature application developed by the Federal Identity, Credential, and Access Management project offers some promise.

Electronic Means of Enhancing Public Participation in Government

NRC fully participates in the Federal e-Rulemaking Initiative (<http://www.regulations.gov>). NRC has created dockets on this website for all documents it has published in the Federal Register since December 2007. The NRC has migrated data from its legacy system to *Regulations.gov* to provide access to more than 10 years of NRC rulemaking dockets, including all public submissions. NRC also posts to *Regulations.gov* all stakeholder comments on guidance and other non-rulemaking documents requesting comment that are published in the Federal Register, as well as supplemental background information and supporting documents for high-interest agency actions.

To increase public awareness of new NRC rulemaking actions, NRC provides a listserv on its website that alerts subscribers when a new NRC rulemaking docket has been opened on *Regulations.gov*.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

NRC is highlighting the National Source Tracking System (NSTS) to illustrate how NRC has linked performance goals to key stakeholders, the private sector, other agencies, and internal operations in delivering information and services through the use of IT.

NSTS tracks the transfer of responsibility of sealed sources of radioactive materials. This tracking spans the life cycle of the source from manufacture through shipment receipt, decay, and burial. It supports controlled authorizations and accountability for licensed suppliers and licensed recipients of sealed sources. The successful implementation of NSTS satisfies NRC’s commitment to Congress to develop source tracking capabilities and satisfies the International Atomic Energy Agency’s Code of Conduct’s call for a national, central database of high-risk sources.

NSTS helps NRC do the following:

- Monitor the location, possession, and disposal of radioactive sources of concern throughout the country.
- Improve accountability and give better information to decision makers.
- Detect and act on tracking discrepancies.
- Conduct inspections and investigations.
- Communicate radioactive source information among Government agencies.
- Respond in the event of an emergency.
- Verify legitimate import, export, ownership, and use of radioactive sources.
- Further analyze hazards attributable to the possession and use of radioactive materials.

In January 2009, all users of Category 1 and Category 2 radioactive sources in the United States began reporting their source inventories and transactions, as required by 10 CFR Part 20, “Standards for Protection against Radiation,” or equivalent Agreement State regulation. The regulations state that each licensee who manufactures, transfers, receives, disassembles, or disposes of a nationally-tracked source must complete and submit a National Source Tracking Transaction Report.

Reducing Errors through Electronic Submissions

The NRC has enhanced its electronic submittal capability to facilitate the electronic transmission process. This has been highly effective in reducing errors through the use of electronic submissions.

NRC initiated its electronic submission capability to provide the means to receive and manage complex electronic document submittals in anticipation of major license applications for new nuclear power plants, license renewals for existing nuclear power plants, and the U.S. Department of Energy’s high-level waste repository license application for Yucca Mountain. The electronic submittal process is invaluable to managing the interaction among internal organizations and external organizations.

Electronic submission has been instrumental in allowing the NRC to achieve significant operating goals for the receipt, possession, and distribution of high volumes of complex documents. The electronic submittal capability ensures the optimum flow of documents into the NRC, efficient processing of documents according to NRC policy, and effective distribution of the information to NRC business units, thus enabling the agency to achieve its mission of protecting people and the environment in a more efficient manner.

Efforts to Comply with Section 508 Regarding Information Management

In compliance with Section 508 NRC offers the BrowseAloud assistive technology solution. This customizable software allows site visitors to listen to the contents of a Web page, highlighting the words and sentences as they are read aloud. Unlike other available screen readers, which are designed exclusively for the blind, BrowseAloud provides a range of options to accommodate the broader needs of print-disabled stakeholders who have visual impairments, learning disabilities (such as dyslexia), or literacy challenges (including English as a second language). BrowseAloud is available free of charge for NRC website visitors to download and use.

NRC also has service provisions for people without access to the Internet. The NRC maintains a Public Document Room (PDR) where copies of NRC publicly available records can be read. Copies can be ordered in person, through e-mail, or by telephone. The PDR has a toll-free telephone number (800-397-4209) and staff to assist members of the public who do not have Internet access. The PDR staff can also provide bibliographies based on subject searches of the public databases to give users an idea of the documents that are available.

Quantifying Cost Savings Achieved through Implementation of IT Programs

The following illustrates cost savings and cost avoidance achieved through NRC's implementation of IT programs:

- NSTS: Over the 5-year period ending in FY15, the projected cost avoidance and cost saving for NSTS is \$47M.
- Enterprise Content Management (ECM) System: Through 2012, the ECM System will accomplish document processing turnaround service level commitments with estimated cost avoidance of \$2M in document processing contractor full-time equivalent staff.
- E-Travel: In FY09, the NRC successfully implemented the E-Gov Travel system. It provides a common, automated, and integrated approach to manage the travel function of the Federal Government's civilian agencies. Over the 4-year period ending in FY13, NRC projects cost avoidance and cost savings through its use of E-Gov Travel of \$1.6M dollars.

National Science Foundation

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The National Science Foundation's (NSF) Information Resources Management (IRM) Plan, which includes NSF's Enterprise Architecture Transition Plan, is located at: <http://www.nsf.gov/oirm/dis/>.

Information Dissemination Management to the Public

As required by Section 207 of the E-Government Act of 2002, NSF has produced an inventory of website content, priorities, and schedules. NSF's inventory includes information products that are published on the NSF website, classified and organized according to the type of content they include and/or their intended audience: the research and education community that competes for NSF research awards; the public, including K-12 educators; public information/media professionals; and those who use NSF statistical information on science and engineering.

NSF's e-Gov content inventory is located on its agency website at: http://www.nsf.gov/policies/egov_inventory.jsp.

In addition to the inventory of NSF information dissemination products referenced above, NSF provides other types of resources to the public via the NSF website. These include:

- *Discoveries from NSF research*: Brief stories highlighting research results, focusing on some of the important discoveries and innovations that began with NSF-supported research (<http://www.nsf.gov/discoveries/>).
- *Overviews of NSF research*: Pages that identify the "big questions" in each field of science, engineering and education research supported by NSF and show how NSF-funded researchers are addressing them (<http://www.nsf.gov/news/overviews/>).
- *NSF Award Search*: Information on NSF-awarded research; site visitors can browse a complete list of recent agency awards or search specific data fields, including awardee name or organization, program and field of application, etc. (<http://www.nsf.gov/awardsearch/>).

To further enhance transparency, NSF is already actively supporting and participating in key Government-wide Open Government-related initiatives to provide the public with insight into NSF-funded research, spending, and investments. These initiatives include *Recovery.gov*, which provides a central, online location for taxpayers to track NSF spending and activities related to the American Recovery and Reinvestment Act (Recovery Act); *Data.gov*, which provides the public with easy access to

NSF data in open and machine-readable formats; *USAspending.gov*, which provides financial transparency at the transaction level into NSF financial assistance, including contracts and grants awards; and the Federal IT Dashboard, which offers insight and transparency into NSF's IT portfolio as a whole, as well as into the significant individual technology investments that are critical in supporting NSF's mission and work.

Improved Performance in Support of Agency Objectives and Strategic Goals

NSF's ability to carry out its mission to fund science and engineering, research, and education is dependent on the business processes, both programmatic and administrative, that support the agency each and every day. These processes are fully supported electronic business solutions. While NSF has been a leader in technology solutions to support its mission, NSF remains focused on institutional transformation through creativity and innovation and by continuing its role as a model Federal steward.

One of NSF's strategic goals is to "encourage and sustain a culture of creativity and innovation across the agency to ensure efficiency and effectiveness in achieving high levels of customer service." In support of this goal, NSF is transforming business processes and their underlying technologies by using new and innovative tools and services. These solutions will increase the efficiency and effectiveness of processes to review, fund, and assess NSF investments.

Additionally, these new and innovative tools and services will enable greater transparency and accountability throughout NSF's core business processes. For example, through the continued development of *Research.gov*, NSF is exploring creative mechanisms to make the agency even more transparent and accountable to the research community and the American public. NSF is also implementing strategies that will strengthen accountability of the awardee community through business assistance and reporting tools.

Freedom of Information Act (FOIA) Compliance

- NSF's primary FOIA website located at: <http://www.nsf.gov/policies/foia.jsp>.
- The NSF FOIA handbook is located at: <http://www.nsf.gov/pubs/2007/nsf07135/nsf07135.pdf>.
- Documents that are frequently requested by the public under FOIA are located at: <http://www.nsf.gov/publications/ods/>.

Dissemination of Federal Research and Development (R&D) Funding to the Public

NSF's public facing website to disseminate research and development information is located at: <http://www.nsf.gov/>.

NSF's website also features information regarding the agency's compliance with requirements of the Recovery Act, which is available at: <http://www.nsf.gov/recovery/>.

Dissemination of Formal Agency Agreements with External Entities to the Public

NSF's formal agency agreements with external entities to the public are located at: <http://www.nsf.gov/about/partners/>.

NSF's Division of Science Resources Statistics (SRS) works collaboratively with other Federal agencies and international science organizations to improve the capture and analysis of scientific statistical data. A list of SRS surveys and partners is available at: <http://www.nsf.gov/statistics/about.cfm>.

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

NSF's website that contains the publicly-posted records schedules is located at:

<http://www.nsf.gov/policies/records/index.jsp>.

NSF is managing agency records per requirements of the E-Government Act of 2002 and NARA Bulletin 2006-02, and continues to coordinate with NARA regarding options for the transfer of NSF's unique electronic materials to the Archives. NSF conducted the following significant records management activities in FY10:

- NSF acquired a Department of Defense (DOD) 5015.2 approved Electronic Records Management (ERM) system, Documentum, in 2009. In August 2010, NSF completed Phase I of the Documentum implementation. The ERM allows the agency to electronically manage the storage, retirement, retrieval, and transfer of physical records. Phase II of the implementation will provide the same functionality for electronic records including their permanent transfer to NARA's Electronic Records Archive (ERA).
- NSF is drafting policy for the use of Web 2.0 Social Media applications. NSF has reviewed NARA-published guidance on the subject and is consulting with its NARA records appraiser. Consistent with the final approved agency policy for the use of the technology, NSF will submit to NARA for approval a record schedule governing any record content produced.
- NSF's Records Officer continues to meet with records owners as required to evaluate any new systems for records content, schedule them as appropriate, and update business practices.

Implementation of Electronic Signatures for Interoperability

NSF has implemented electronic signatures across all of its key mission support systems, including FastLane, NSF's legacy system for the research community to do business with the Foundation; eJacket, NSF's internal system used by staff to make and manage the Foundation's grant awards; and *Research.gov*, NSF's modernization of FastLane.

Since June 2001, NSF has accepted electronic signatures for a variety of pre- and post-award grants management processes through FastLane. All NSF proposals are required to be electronically signed by the research organization before being submitted to the Foundation for consideration. Additionally, NSF requires electronic signatures on post-award activities, including award progress and financial reports and requests for electronic funds transfers.

NSF's modernization of FastLane, *Research.gov*, will also support electronic signatures for key award activities, not only for NSF but for other Federal research agencies as well.

With eJacket, NSF recently implemented a streamlined electronic approval and sign-off process for grant awards, which not only eliminated paper signatures, but also enabled the system's electronic award jackets to become the official proposal record. Thus, all reviews and approvals on award actions and budget activities now occur electronically and are managed through a single system.

NSF has established streamlined interoperability across its business applications for both internal and external users. With this functionality, NSF provides simple and secure entry into and transfer between its systems. Internally, NSF staff with approval authority can electronically approve and sign-off on awards and related activities. For external users, NSF established single sign-on credentials, which allow members of the research community to use the same credentials for logging into all external NSF systems, including FastLane and *Research.gov*, and to electronically sign-off on proposals and award-

related activities such as financial and progress reports. Additionally, *Research.gov* not only supports NSF credentials but also credentials issued by the U.S. Department of Agriculture.

In order to further increase interoperability for the research community, NSF recently joined the InCommon Federation to provide simpler and easier access to online services. Once implemented, the research community will be able to securely access both *Research.gov* and FastLane using their unique IDs and passwords from their home institutions.

Electronic Means of Enhancing Public Participation in Government

NSF is a participant in the Government-wide E-Rulemaking Program, and contributes to its cost. The Foundation typically publishes only one to three proposed regulations per year. *Regulations.gov* allows the public to actively submit online comments on proposed regulations, notices, and other regulatory related documents.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

NSF's Open Government strategic goal is nothing less than an increased public awareness and appreciation of NSF's mission and the Agency's contributions to the American citizenry. This will be accomplished by providing data that inform the public about National scientific priorities; NSF funding opportunities; NSF awards made; Freedom of Information Act (FOIA) results; science and engineering advances generated with NSF support; and statistical data related to funding and funding outcomes, to name a few.

Along with increasing the transparency of information provided to the public, NSF has also proactively identified and developed additional opportunities for improving transparency to the research community. A prime example of this is *Research.gov* and its services.

NSF continues to be a Federal leader in delivering high quality, customer-focused services for the research and education community. This has been accomplished through strategic collaboration with research and education constituencies and other Federal agencies. NSF is continuing to standardize and streamline processes and support systems that interface with this community. These new and improved services increase transparency and accountability of research and education funding, ease administrative burden on applicants and awardees, and increase efficiency and effectiveness throughout the proposal, review, and award process.

As previously described, NSF's initiative and technology platform for delivery of these service improvements is *Research.gov*. Innovative tools available online through *Research.gov* improve the interactions between Federal agencies and the organizations that submit applications to and receive funding from them, including universities, community colleges, non-profit organizations, and small businesses. Four major research agencies are already working in partnership on *Research.gov* to better serve this community: NSF, National Aeronautics and Space Administration (NASA), the Department of Defense (DOD), and the National Institute of Food and Agriculture (NIFA) within the Department of Agriculture. Thousands of institutions and researchers across the nation perform research activities to advance science and engineering with awards made by these agencies. NSF also partners with multiple research associations on *Research.gov*, such as the Federal Demonstration Partnership (FDP), to identify the research community's service priorities and ensure *Research.gov* meets their needs.

Research.gov makes information that was difficult to find and not previously available electronically accessible online. *Research.gov* is already delivering important benefits to stakeholders by increasing the speed with which agencies can communicate important information to applicants and grantees.

Stakeholders have commented on the amount of time and effort *Research.gov* has saved them. *Research.gov* currently provides information about research awards, outcomes and newsworthy highlights.

Reducing Errors through Electronic Submissions

Since 1995, NSF has successfully supported electronic submissions throughout the proposal and award management lifecycle, including submission of proposals and post-award reports, such as financial and progress reports, through FastLane, NSF's legacy system for the research community to do business with the Foundation. FastLane was designed to streamline and improve the way NSF does business with the research community and reduce the administrative burden on the research community and NSF staff by electronically-enabling formerly paper-based processes. In addition, FastLane greatly reduced proposal submission and award management errors by providing basic electronic checks to help ensure that submissions were in compliance with NSF regulations. Additionally, electronic reporting capabilities have made it easier for the Foundation and grantees to track and complete reporting requirements and have led to more timely submissions of required reports due to automated notifications of due and overdue reports. Over 15 years after FastLane's inception, NSF continues to successfully support over 45,000 electronic proposal submissions and electronic post-award reporting submissions each year from a grantee community of over 250,000.

Additionally, while the research community continues to leverage FastLane for electronic submissions to NSF, the Foundation is investing in the future of its grants management solutions through *Research.gov*. *Research.gov* modernizes FastLane and offers a modern technology platform for the research community and the public to access information and do business with NSF and other Federal research agencies. Made possible by *Research.gov*'s cutting-edge technology, the Foundation is looking into opportunities to further reduce errors in electronic submissions through broader, more robust checks and validations.

Efforts to Comply with Section 508 Regarding Information Management

The NSF website strives to be accessible to all, including those with disabilities and those without reasonable access to advanced technologies. NSF is committed to making every document on its web pages accessible to the widest possible audience; NSF's accessibility specialists consult with other Federal agencies and Federal web consortia to ensure that its documents are accessible to persons using special screen reading software and hardware.

On most public NSF web pages, there are invisible links at the top and bottom which direct to a text-only version of the page. Because many people that use screen reading devices cannot read documents in Portable Document Format (PDF), every PDF document on NSF's website is accompanied by an ASCII, HTML, or word-processing version, or can be requested in printed form.

NSF's commitment to ensuring the accessibility of its documents is particularly stringent for any publication relating to NSF funding opportunities. NSF also encourages grantees to ensure that web pages disseminating information about their work are generally accessible for persons using screen reading devices.

Quantifying Cost Savings Achieved through Implementation of IT Programs

Research.gov helps Federal agencies avoid the costs of developing and implementing online management services while supporting efforts to promote their common research mission. *Research.gov* also fulfills Federal mandates (Public Law 106-107, President's Management Agenda, E-Government Act, and the Federal Funding Accountability and Transparency Act) and enhances agencies' management services by organizing information into a single access point throughout the management business process. Use of *Research.gov* reduces staff time spent fielding requests for status and policy information; increases

standardization and decreases manual input with electronic intake of progress and financial reports; and provides an audit trail via electronic reporting and E-Authentication.

Office of Personnel Management

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Office of Personnel Management's (OPM) Information Technology Strategic Plan for 2010-2013 is located at: http://www.opm.gov/about_opm/reports/OPM_IT_Strategic_Plan_FY10-13.pdf.

OPM updated its Enterprise Architecture (EA) Plan in February 2008 but has not yet published the plan to its website.

Information Dissemination Management to the Public

OPM publishes information dissemination directories for access by the public on the agency's Open Government website and in the agency's electronic Freedom of information Act (FOIA) reading room. For example, the agency provides access to key data bases which are located at: <http://www.opm.gov/open/Data.aspx>.

The agency's electronic reading room is located at: <http://www.opm.gov/efoia/html/reading.asp>.

OPM manages several E-Government Initiatives. Information about the initiatives is located at the following websites:

- E-Training
 - Go-Learn: <http://www.golearn.gov>
 - USA-Learning: <http://www.usalearning.gov/USALearning/index.htm>
- Recruitment One-Stop
 - Federal IT Dashboard information about USAJOBS, a successor to Recruitment One-Stop: <http://it.USAspending.gov/?q=content/investment&buscid=600&filter=agency~027>
 - The USAJOBS website: <http://www.usajobs.com>
- Enterprise Human Resource Integration (EHRI)
 - Enterprise Human Resources Integration website: <http://www.opm.gov/egov/e-gov/EHRI/>
 - Federal IT Dashboard information about EHRI: <http://it.USAspending.gov/?q=content/investment&buscid=596&filter=agency~027>
- Human Resource Line of Business (HRLoB)
 - Human Resource Line of Business website: http://www.opm.gov/egov/HR_LOB/index.asp
 - Federal IT Dashboard information about HRLoB: <http://it.USAspending.gov/?q=content/investment&buscid=594&filter=agency~027>
- E-Clearance
 - The e-Clearance e-Government initiative has completed numerous accomplishments since its inception. Currently, background investigation transformation and upgrade initiatives are being managed through the EPIC Transformation program. Information about EPIC Transformation is available to the public on the Federal IT Dashboard at: <http://it.USAspending.gov/?q=content/investment&buscid=597&filter=agency~027>.

Improved Performance in Support of Agency Objectives and Strategic Goals

The OPM High-Priority Performance Goals are located at: <http://www.opm.gov/gpra/opmgpra/index.asp>.

Freedom of Information Act (FOIA) Compliance

- The OPM primary FOIA website is located at: <http://www.opm.gov/efoia>.
- The OPM FOIA handbook is located at: <http://opm.gov/efoia/foiaguide.asp>.
- Documents that are frequently requested by the public under the FOIA are located at: <http://www.opm.gov/efoia/html/reading.asp>.

Dissemination of Federal Research and Development (R&D) Funding to the Public

OPM does not perform any research and development (R&D) activities.

Dissemination of Formal Agency Agreements with External Entities to the Public

OPM utilizes several resources to effectively disseminate the agency's information and continues to strengthen its information dissemination program. As noted earlier in this report, the agency established an Open Government plan and website in FY10 where the agency disseminates information of broad interest to the public. For example, the agency provides:

- Data bases of interest to the public are located at: <http://www.opm.gov/open/Data.aspx>.
- Links to frequently requested documents are located at: <http://www.opm.gov/open/resources/MostRequested.aspx>.
- Answers to frequently asked questions (FAQS) are located at: <http://www.opm.gov/open/resources/DidYouKnow.aspx>.

In addition:

- OPM's website offers an array of information to the public, and is located at: <http://www.opm.gov>.
- OPM's Freedom of Information Act Electronic Reading Room provides access to various Agency resources, and is located at: <http://www.opm.gov/efoia/html/reading.asp>.
- OPM's Publications Database is located at: <http://apps.opm.gov/publications/index.asp>.
- OPM Federal Register notices are located at: <http://www.opm.gov/fedregis/index.asp>.
- Federal Employment Statistics are located at: <http://www.opm.gov/feddata/index.asp>.
- Visitors can also use OPM's Subject Index to browse OPM's website: <http://www.opm.gov/topics.asp>.

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

The OPM Records Management Program is located at:

<http://www.opm.gov/RecordsManagement/policies/index.asp>

In FY08, OPM submitted a records schedule for one information system, the Health Care Provider Debarment Files. Work is underway to schedule two more electronic systems, USAJobs and Scholarship for Service. In addition, electronic records are being transferred successfully to NARA: the Voting Rights Program Records (transferred most recently on 12/15/08); Central Personnel Data File (CPDF) (transferred most recently on 8/31/09); and the Federal Human Capital Survey data files (transferred on 11/20/09).

Implementation of Electronic Signatures for Interoperability

OPM has a policy on Electronic Signatures that was established in May 2004. This policy has established a framework to allow efficient electronic signatures for business applications and information collections whenever the use of electronic transactions is practical.

Electronic Signatures are accepted on personnel actions with the approval of OPM. Control procedures have also been put in place to ensure the authenticity of data on the form, including the electronic signature.

As part of Enterprise Human Resources Integration (EHRI), the use of electronic signatures has been incorporated into the Entrance on Duty procedures.

Electronic Means of Enhancing Public Participation in Government

OPM participates in eRulemaking which increases access to and participation in developing regulations and other related documents that can impact the public.

OPM also promotes more efficient and effective rulemaking through public involvement and continuously leverages feedback provided by the American people to identify new policies, develop procedures, and improve processes. OPM also makes the public notice option more visible so that people can provide comments or input via email on proposed regulations via *Regulations.gov*.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

OPM ensures that all of its IT systems and services are customer focused and linked to the performance goals in the OPM Strategic plan. The long-term performance goals of OPM are 1) Hiring Reform, 2) Telework, 3) Security Clearance Reform, and 4) Retirement Claims Processing.

OPM tracks the implementation of the strategic plan in several ways. OPM's Office of the Director assigns one or more strategies identified to an OPM executive who will champion its implementation. This individual will be responsible for developing detailed yearly operating plans until the strategy is successfully implemented. The yearly operating plans include distinct actions with planned completion dates, along with performance measures or indicators to gauge progress. The Office of the Director reviews these operating plans several times a year to ensure that the necessary resources are being allocated to the strategy and sufficient progress is being made. To ensure transparency, operating plans are posted and periodically updated on the OPM website.

OPM works to determine where technology enablers will enhance the performance, value provided, and service to customers. OPM provides mission-focused solutions that prioritize mission investments based on their alignment and support of OPM strategic goals.

Reducing Errors through Electronic Submissions

OPM has reduced errors through the use of electronic submissions through increased use of automation. For example, OPM recently selected eCPIC to help prepare IT Capital Planning Reports and Federal IT Dashboard submissions for public review. The eCPIC tool supports the selection, control, and evaluation phases of the IT capital planning and investment control process and provides a self-documenting business case for investments which helps to eliminate errors. Also it includes a central repository of cost, risk, and mission support information. The individual IT capital planning initiatives and the entire IT investment portfolio are updated using the tool.

Efforts to Comply with Section 508 Regarding Information Management

OPM has conducted numerous efforts to comply with Section 508. For example, the agency ensures that Electronic and Information Technology (EIT) acquisitions are compliant with Section 508 standards by including standard Section 508 compliance clauses in all OPM contracts. In addition, OPM includes controls in the agency's web publishing process to address Section 508 compliance. The controls must be

triggered before any OPM web pages are published. Furthermore, for all EIT that is not procured but developed internally, OPM requires that a self-certification of 508 compliance be completed by the program office that “owns” the EIT, and that an Independent Verification and Validation be performed by an independent third party to confirm that the self-certification is valid.

Quantifying Cost Savings Achieved through Implementation of IT Programs

OPM recently established a multi-year Enterprise License Agreement for the Adaptable Data Base System (ADABAS) with flat-line maintenance payments resulting in a cost savings of \$1.32M. This agreement established an end date coordinated with the decommissioning of the Personnel Investigations Processing System (PIPS) and the move to the replacement system, the Electronic Information Privacy Center (EPIC), which will eliminate reliance on ADABAS in favor of a much less costly product.

This action was completed immediately prior to an approximately 10 percent cost increase for ADABAS. Other enterprise-wide license agreements with various companies on IT products have resulted in a \$3.2M cost savings.

The Human Resources Line of Business (HRLoB) cost benefit analysis reflects the savings realized by the Federal Government as agencies migrate their legacy HR and payroll systems to HR Shared Service Centers (SSCs) or payroll providers. The current net present value for total cost savings and cost avoidance related to the HRLoB amounts to over \$1.37B over a 10 year period from FY05 through FY15. The cost benefit analysis also identifies additional benefits and considerations, which increase the current net present value of the total savings to over \$3.4B. Additionally, the HRLoB initiative will continue to generate approximately \$200M in cost savings annually after FY15.

Small Business Administration

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Small Business Administration’s (SBA) Information Technology Strategic Plan is located at: http://www.sba.gov/aboutsba/sbaprograms/OCIO/sba_ocio_2007_2011.html.

SBA’s Enterprise Architecture Transition Plan is located at: http://www.sba.gov/aboutsba/sbaprograms/OCIO/ocio_ea.html.

Information Dissemination Management to the Public

SBA participates in and makes financial contributions to 14 E-Government initiatives. The Agency has Memoranda of Agreement (MOA) and/or Interagency Agreements (IAA) with the managing partners of each of the 14 initiatives. These agreements ensure adherence to the initiatives guidelines and implementation schedules. Also required, SBA places links on its main *SBA.gov* website for certain initiatives and has a link to SBA on the website of nearly every initiative. By having reciprocal links, SBA ensures that information about E-Government initiatives is cross-linked for the easy access by the public. The following table provides details on SBA’s formal E-Government efforts.

E-Government Initiative	FY10 Contribution	Current Level of SBA’s Participation
GovBenefits.gov	\$326,920	<ul style="list-style-type: none"> • Attends meetings, interacts with managing partners, and/or responds to requests for information from the initiative • Maintains link from <i>SBA.gov</i> to the <i>Benefits.gov</i> website
USA Services	n/a*	<ul style="list-style-type: none"> • Attends meetings, interacts with managing partners, and/or responds to requests for information from the initiative • Maintains link from <i>SBA.gov</i> to the <i>USA.gov</i> website

E-Government Initiative	FY10 Contribution	Current Level of SBA's Participation
Disaster Assistance Improvement Plan (DAIP)	\$627,750	<ul style="list-style-type: none"> • Attends meetings, interacts with managing partners, and/or responds to requests for information from the initiative
E-Rulemaking	\$80,484	<ul style="list-style-type: none"> • Attends meetings, interacts with managing partners, and/or responds to requests for information from the initiative • Maintains link from <i>SBA.gov</i> to the <i>Regulations.gov</i> website
Grants.gov Memorandum of Understanding (MOU)	\$68,730	<ul style="list-style-type: none"> • Attends meetings, interacts with managing partners, and/or responds to requests for information from the initiative
Recruitment One-Stop	\$25,259	<ul style="list-style-type: none"> • Attends meetings, interacts with managing partners, and/or responds to requests for information from the initiative • Posts position openings to <i>USAJobs.gov</i>
E-Gov Travel	\$138,863	<ul style="list-style-type: none"> • Attends meetings, interacts with managing partners, and/or responds to requests for information from the initiative • Uses an E-Gov Travel system
Integrated Acquisition Environment (IAE)	\$156,750	<ul style="list-style-type: none"> • Attends meetings, interacts with managing partners, and/or responds to requests for information from the initiative • Provides an full-time equivalent employee (FTE) to the IEA Project Management Office (PMO)
IAE Grants & Loans	\$975,000	<ul style="list-style-type: none"> • Attends meetings, interacts with managing partners, and/or responds to requests for information from the initiative
Financial Management (FM) Line of Business	\$44,444	<ul style="list-style-type: none"> • Attends meetings, interacts with managing partners and/or responds to requests for information from the initiative • Adheres to FM guidance
Grants Management (GM) Line of Business	\$28,460	<ul style="list-style-type: none"> • Attends meetings, interacts with managing partners, and/or responds to requests for information from the initiative • Adheres to GM guidance
Enterprise Human Resources Integration (EHRI)	n/a*	<ul style="list-style-type: none"> • Attends meetings, interacts with managing partners, and/or responds to requests for information from the initiative • Is migrating paper Personal Files to Electronic Official Personnel Folder (eOPF) system
Budget Formulation and Execution (BFE)	\$50,000	<ul style="list-style-type: none"> • Attends meetings, interacts with managing partners, and/or responds to requests for information from the initiative • Adheres to BFE guidance
Geospatial Line of Business	\$15,000	<ul style="list-style-type: none"> • Attends meetings, interacts with managing partners, and/or responds to requests for information from the initiative

* Previous multi-year agreement did not require funding for FY10

Improved Performance in Support of Agency Objectives and Strategic Goals

SBA uses the Agency Financial Report, the Annual Performance Report, and the Summary Report to report the Agency's performance with respect to each of its particular missions, components, programs, policy areas, and support functions which are located at:

http://www.sba.gov/aboutsba/budgetsplans/BUD_PERF_ACCT_REPORT.html.

In addition, SBA tracks and reports performance of the American Recovery and Reinvestment Act (Recovery Act) through a SBA Recovery Act Report Card and a Program Performance Report. Both reports are updated monthly and available at: <http://www.sba.gov/recovery/index.html>.

Freedom of Information Act (FOIA) Compliance

- SBA's primary FOIA website is located at: <http://www.sba.gov/aboutsba/sbaprograms/foia/>.
- The SBA FOIA handbook is located at:
http://www.sba.gov/aboutsba/sbaprograms/foia/FOIA_HANDBOOK.html.
- Documents that are frequently requested by the public under FOIA are located at:
http://www.sba.gov/services/lawsandregulations/lawlibrary/serv_laws_records.html.

Dissemination of Federal Research and Development (R&D) Funding to the Public

SBA does not receive funding for, and does not participate in, R&D activities. Therefore, the SBA does not have a website dedicated to disseminate or describe such activities or results. However, the SBA's Office of Economic Research website, <http://www.sba.gov/advo/research/> provides economic research and statistics associated with small businesses. In addition, the SBA's Office of Technology administers the Small Business Innovation Research (SBIR) Program and the Small Business Technology Transfer (STTR) Program. The Office of Technology's website (<http://www.sba.gov/aboutsba/sbaprograms/sbir/index.html>) provides relevant research regarding information technology for small businesses.

Dissemination of Formal Agency Agreements with External Entities to the Public

SBA's Office of Advocacy Small Business Law Library website provides the Memoranda of Understanding and formal agreements available to the public, and is located at:
http://www.sba.gov/advo/laws/law_lib.html. Not all of the agreements are available for public viewing.

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

SBA presently has 27 approved electronic systems—one of which comprises 33 subsystems. This system is scheduled under job number NI-309-05-23. During FY10 one (1) electronic schedule has been submitted to the National Archives and Records Administration (NARA) for approval. One (1) paper-based schedule has been submitted to SBA's appraisal archivist for preliminary approval. Two (2) electronic schedules are being prepared for submission to NARA. This application is currently available to SBA employees only.

Implementation of Electronic Signatures for Interoperability

SBA is on track for a technical implementation of e-signature capability in FY11, with an internal PKI infrastructure and a planned January 2011 completion of SBA-wide logical access using HSPD-12 PIV cards. This infrastructure will be used in FY11 for selected applications, including personnel-related applications. However, full implementation of electronic signatures in SBA is dependent upon approval and adoption by SBA General Counsel.

Electronic Means of Enhancing Public Participation in Government

SBA is an active participant in electronic rulemaking. During FY10, SBA created 16 rulemaking dockets through the Federal Docket Management System (FDMS) for inclusion on *Regulations.gov*. One of these dockets, the Women-Owned Small Business Federal Contract Program, generated over 1,000 public comments. One docket, proposing changes to the 8(a) Business Development and Small Disadvantaged Business programs, generated 290 comments. The other dockets generated an average of 10 comments per docket. SBA also created one non-rulemaking docket, a request for information on entrepreneurial mentoring and education, which generated 45 comments.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

The Office of the Chief Information Officer (OCIO) meets the needs of all key stakeholders through an active management of Service Level Agreements (SLA). SLAs are the foundational metrics used to assess both government and contract service support throughout the SBA enterprise. These performance goals are critical and reviewed weekly by OCIO management to ensure proper oversight. Furthermore, OCIO is the “foundational” layer that provides all IT investments with an integrated and fully executed infrastructure supporting SBA’s national mission.

Reducing Errors through Electronic Submissions

SBA’s Office of Business Development manages the Business Development Management Information System (BDMIS) into which 8(a) firms are required to submit forms and documents electronically.

BDMIS removed an important source of error in the 8(a) program application and annual re-certification processes. Prior to BDMIS, an applicant for admission to the 8(a) program submitted their application on paper to the SBA. Once admitted to the program for a period of nine years, the firm submitted the materials in a hardcopy format for its annual re-certification. When these materials were received by SBA, the data was re-keyed into SBA’s internal 8(a) program processing and tracking system. This re-keying process was a constant source of error. The introduction of BDMIS allowed the SBA to completely eliminate such data re-keying errors. Using BDMIS, 8(a) program applicants and already certified 8(a) firms enter their information directly into the electronic forms required for processing and tracking 8(a) program participation. No re-keying of data by a third party takes place.

Efforts to Comply with Section 508 Regarding Information Management

SBA’s IT acquisition policy implements Section 508 as prescribed by the Federal Acquisition Regulation (FAR). SBA reviews all SBA web applications for compliance with Section 508. In addition, SBA has worked to include appropriate metatags to existing web documents.

Quantifying Cost Savings Achieved through Implementation of IT Programs

SBA has implemented and re-evaluated two major IT programs (HSPD-12 and Loan Management and Accounting System) resulting in a significant cost savings or cost avoidance.

Homeland Security Presidential Directive 12 (HSPD-12): The HSPD-12 initiative expedites SBA’s ability to enable IT solutions that directly address line of business needs for disaster response, automated small business services such as electronic (and paperless) workflow services, and reduction in other existing investments for help desk operations and password management. During FY10, SBA made a strategic decision to adjust HSPD-12 implementation strategies from a strictly internal issuance process to working with the General Services Administration (GSA). SBA re-baselined the HSPD-12 investment in March 2010 and moved into an Interagency Agreement (IAA) with GSA for a Managed Service Offering (MSO) with their Office of Integrated Technology Services to provide PIV card issuance for SBA. This change in implementation strategy will yield a savings of \$1,614 per card.

Loan Management and Accounting System (LMAS): The LMAS investment was approved to modernize SBA's loan management and accounting systems. After successfully completing work on a number of initial projects, SBA re-evaluated the LMAS program and decided that the agency and its contractors cannot complete the remaining work of the project in an acceptable timeframe, for an acceptable cost, and with an acceptable level of risk. Thus, SBA is terminating the LMAS investment during FY11 and redirecting funding to smaller, more manageable projects. These smaller projects will be separately funded, and will provide more meaningful deliverables and decision points as the program progresses. As a consequence of terminating the existing LMAS, SBA will realize a savings of \$43M.

Social Security Administration

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The Social Security Administration's (SSA) Information Technology Strategic Plan and Enterprise Architecture Plan are located at: <http://www.ssa.gov/irm/index.htm>.

Information Dissemination Management to the Public

SSA organizes and categorizes information intended for public access on their website located at: <http://www.socialsecurity.gov/>. This link focuses on providing access to general Agency Program and Benefits information and services along with other non-Agency related links. Other links available at this website include:

- The Policies & Other Important Information page describes the policies and linking guidelines and includes links to the Web Content Inventory page: <http://www.socialsecurity.gov/websitepolicies.htm>.
- The Web Content Inventory page describes the priorities and publishing schedules for all information on the website: <http://www.socialsecurity.gov/webcontent/>.
- The online Forms and Publications page provides the public with online access to Agency services and online forms: <http://www.socialsecurity.gov/pgm/formspubs.htm>.
- The Press Release page includes links to useful Press Releases and a Facts and Figures page: <http://www.socialsecurity.gov/pressoffice/pressrel.htm>.
- The Office of the Actuary page provides the public access to Actuarial Publications, Solvency Estimates, Cost of Living Adjustments, Benefits Calculator, and Beneficiary and Trustee information: <http://www.socialsecurity.gov/OACT/>.

Improved Performance in Support of Agency Objectives and Strategic Goals

- SSA's Performance and Accountability Report is located at: <http://www.ssa.gov/finance/>.
- Additional performance related data is located at: http://www.ssa.gov/pgm/links_governance.htm.

Freedom of Information Act (FOIA) Compliance

SSA's primary FOIA website provides public access to the agency's FOIA Reading Room, SSA's FOIA Regulations, FOIA Guide, Annual Reports, Frequently Requested Documents, Manuals and Instructions, and Privacy Impact Assessments, and is located at: <http://www.ssa.gov/foia/index.htm>.

Dissemination of Federal Research and Development (R&D) Funding to the Public

SSA has cooperative agreements with the Retirement Research Consortium (RRC). RRC is composed of world-renowned retirement research centers. SSA has these agreements and provides funds to the RRC to promote retirement research and to inform the public and policymakers about Social Security issues. Information developed by the centers can be found on their individual websites. The

<http://www.ssa.gov/policy/> website contains information concerning the RRC and provides links to each center. This website also serves as the agency's source for retirement and disability research, and Old-Age, Survivors, and Disability Insurance (OASDI) and Supplemental Security Income (SSI) program statistics.

Additional websites available to the public regarding research include:

- Extramural research contract reports:
<http://www.socialsecurity.gov/policy/docs/contractreports/index.html>
- Information to the public about federally funded research and development activities and the results of Federal research: <http://ssa.gov/disabilityresearch/>

Dissemination of Formal Agency Agreements with External Entities to the Public

SSA shares information, in accordance with laws and regulations that helps Federal and state agencies do their business more effectively and efficiently. These laws and regulations require that SSA conduct Social Security Number verifications and furnish benefit and income information to various Federal and state entities for use in administering health and income maintenance programs. For instance, SSA has hundreds of data exchange agreements with states nationwide to furnish benefit and/or wage information for their use in administering federally funded benefit programs such as Temporary Assistance to Needy Families, Medicaid, and the Food Stamp Program. In addition, these agreements involve the use of SSA data to determine entitlement and eligibility of individuals for benefits provided under many other federally funded programs.

Within the Agency, there are a number of organizational components that have responsibilities for various types of exchange and information sharing agreements. They include the Office of General Counsel, Office of Systems, Office of Operations, Office of Budget, Finance & Management and the Office of Retirement and Disability Policy. The Office of General Counsel is responsible for data exchange agreements that fall within the purview of the Computer Matching and Privacy Protection Act of 1988 as well as certain types of information exchange agreements (e.g., SSN verifications, model state data exchange agreements). The Office of Operations is the official Agency repository for all finalized state data exchange agreements and the Office of Systems develops and maintains the information exchanged programs.

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

The SSA website that contains the publicly-posted records schedules is located at:

<http://www.archives.gov/records-mgmt/grs/>. The SSA agency-specific schedules are located at:
<http://www.archives.gov/records-mgmt/rcs/schedules/index.html?dir=/independent-agencies/rg-0047>.

SSA has records schedules in place for all of its current electronic systems as required in NARA Bulletin 2006-02. SSA did not submit any new agency-specific records schedules for electronic systems in FY10.

SSA uses a Records Management Questionnaire to inventory electronic records during the software planning stage of the SSA System Development Life Cycle. Project teams use the questionnaire to identify records management issues, including retention and disposition methods. The questionnaire ensures that SSA incorporates records management requirements into the design of all information systems. In addition, SSA maintains a Records Management Program which follows NARA Records Management Guidance and Regulations (<http://www.archives.gov/records-mgmt/policy/guidance-regulations.html>), including the DOD 5015.2 Standard, as required.

Implementation of Electronic Signatures for Interoperability

SSA has developed an Identity, Credentialing, and Access Management Program that includes plans to move paper-based signature processes to workflows with digital signatures. SSA e-mail users currently have the ability to digitally sign e-mail messages using their HSPD-12 Personal Identity Verification (PIV) credentials. Additionally, SSA utilizes its PIV cards to digitally sign documents submitted to the Federal Register.

Within the scope of SSA's applications, the use of "electronic signatures" is implemented in the Internet Claim (iClaim) and the Internet Disability Reports (IDRs) applications. This implementation consists of a user checking a box affirming their identity under penalty of law. Several other SSA web-based interactive applications utilize checkboxes or buttons for users to attest to the validity of the data they are providing, as well as their understanding of the appropriate use of the applications. SSA has no implementation of "digital signatures" in the existing web-based interactive applications.

Electronic Means of Enhancing Public Participation in Government

Activities planned for this year will expand on many of the initiatives already underway. This includes providing additional datasets for public release on *Data.gov*, continued postings to *USAspending.gov*, the IT Dashboard, *Regulations.gov*, and other Federal dashboards. SSA plans to continue to use and leverage GovDelivery to reach the public about web page changes and to conduct public briefings and work closely with advocacy and communities of interest on proposed changes.

The Agency will launch an Open Government portal that will provide a way for the public to provide ideas and feedback on SSA programs as well as its Open Government initiatives. Additionally, SSA strives to make the Federal Docket Management System, the main source for receiving public comments on its regulations, more user-friendly.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

In support of the Government-wide initiative to build a high performance government capable of addressing the challenges of the 21st century, SSA identified four Priority Goals, which have a high direct value to its key stakeholders and link to its strategic goals. SSA's Priority Goals and some of the Agency-wide IT initiatives that support them are:

Increase the Number of Online Applications: By 2012, SSA intends to achieve an online filing rate of 50 percent for retirement applications. To ensure that SSA provides baby-boomers with the service they expect and to enable staff in SSA's field offices to handle increasing demands requiring face-to-face interaction, SSA had set a goal of receiving 50 percent of its retirement applications and 25 percent of its disability applications online by FY12 (This last goal already exceeded).

In FY09, SSA launched a new and improved online application, iClaim, in conjunction with a publicity campaign starring Academy Award winning actress Patty Duke, who is well known to the Baby Boom generation. SSA experienced an instant rise in retirement applications filed online. In FY09, the public filed 32 percent of retirement applications online, nearly twice as many as in the prior year. In FY10, the public filed 37 percent online. SSA's goal for FY11 is to achieve 44 percentage of total retirement claims filed online.

When SSA launched the improved iClaim, online disability applications also increased from less than 10 percent just a few years ago to nearly 27 percent for FY10. As SSA exceeded the FY12 goal two years early, SSA is in the process of establishing higher goals for disability applications filed online for FY11 and FY12.

Issue More Decisions for People Who File for Disability: SSA will continue its efforts to lower the disability backlog and accurately complete claims. SSA will also ensure that people with severely disabling conditions will receive an initial claims decision within 20 days of filing an application. Finally, SSA will reduce the time it takes a person to receive a hearing decision to an average of 270 days by 2013. SSA is streamlining policies and using new rules and enhanced technology to allow claims earlier in the process and to improve service for people who file for disability.

The Quick Disability Determination process and the Compassionate Allowance initiative enable SSA to fast-track disability cases by utilizing computer technology to identify those people with the most severe disabilities. In addition to quickly providing benefits to the most severely disabled persons, these fast-track disability processes free up resources that SSA can use to help process the significant increase in initial disability applications.

SSA continues to implement its “Plan to Eliminate the Hearings Backlog and Prevent its Recurrence” (<http://www.socialsecurity.gov/appeals/>). SSA’s plan to reduce the hearings backlog includes improving hearing office procedures, increasing its ability to hear and decide cases, increasing efficiency through automation and improving business processes, and accelerating SSA’s review of cases that are likely to result in a favorable decision.

SSA fully funds and works closely with 54 State Disability Determination Services, the agencies that make medical determinations for its disability programs.

SSA is partnering with the Department of Health and Human Services on the use of Health Information Technology (IT). SSA is conducting two pilots with health care providers to test how it can use Health IT to make its disability process more timely, efficient, and accurate. In the first pilot, SSA partnered with Beth Israel Deaconess Medical Center in Boston.

SSA has also contributed to the development of the Nationwide Health Information Network (NHIN), the Nation’s electronic network of health information. SSA is using NHIN to obtain electronic medical records from Med Virginia, a health care provider.

Improve SSA’s Customer Service Experience on the Telephone, in its Field Offices, and Online: To improve SSA’s customer service experience and provide the services the public expects and deserves, SSA will improve telephone service on its National 800 Number and in its field offices by linking the following performance goals to IT investment.

Two metrics, 1) measuring the average time it takes an agent to answer a call and 2) measuring the percentage of callers that receive a busy message when trying to reach an agent directly, measure the public’s ability to interact with SSA by telephone. SSA is also opening a new call center in Jackson, Tennessee, which will also help in improving the customers’ experience on the telephone.

The annual satisfaction survey gives an overall indication of the public’s satisfaction of services in the field and hearing offices, on the telephone and online. Increasing the size of field office waiting areas and creating more private interview areas for those waiting will help in raising the satisfaction rating to “excellent,” “very good,” or “good.”

Measuring how long visitors to field offices have to wait to be seen (with and without an appointment) and the percentage of field office claims appointments that are scheduled within 21 days of the

appointment request are strong indicators to the public of SSA's goal to improve the field office experience.

The continued phased implementation of Telephone System Replacement Project (TSRP) in the field offices and the awarding of the Citizen Access Routing Enterprise through 2020 (CARE 2020) contract in the call centers are two IT projects that will be used to improve services to the public. The enhanced Voice Over Internet Protocol infrastructures allow for new future services to be delivered by phone or through a collaborative online venture.

Ensure Effective Stewardship of SSA's Programs by Increasing Program Integrity Efforts: SSA will continue to demonstrate an unyielding commitment to sound program integrity efforts by minimizing improper payments and strengthening its efforts to protect program dollars from waste, fraud, and abuse.

To ensure that SSA uses public tax dollars efficiently in administering its programs, SSA linked the performance goal of "ensuring effective stewardship of its programs" to key stakeholders and increased their program integrity efforts.

SSA launched a website dedicated to informing the public and its key stakeholders on Reducing Improper Payments. It highlights the major causes, contains informational dashboards, and lists SSA's partnerships. It is located at: <http://www.ssa.gov/improperpayments/>.

The Access to Financial Institutions (AFI) process is an effective means of reducing Supplemental Security Income payment errors. The AFI system allows SSA's offices to electronically request and receive financial account information. SSA's vendor handles the requests for and receipt of information from financial institutions, and automates the financial balance verification process used in SSA field offices. By automatically checking an applicant or recipient's known financial accounts, and by systematically checking for unknown accounts with financial institutions in a given area, the AFI program helps SSA avoid many common payment errors.

The Supplemental Security Income Telephone Wage Reporting System eliminates the need for Supplemental Security Income recipients to mail or bring copies of their pay slips into their local field office and minimizes intervention from SSA employees. SSA will also expand its collaboration with Federal, state, local, and private sector business partners to identify improper payments and will increase its program integrity workloads that are critical to ensuring well-run programs and accurate payments. As SSA expands these efforts, SSA will continue to focus on activities with the greatest impact on improving program integrity and reducing improper payments.

SSA's office of Open Government and Citizen Engagement focuses on promoting accountability and providing information for citizens and stakeholders about what the agency is doing. Transparency aims to disclose information, consistent with law and policy, in forms that the public can readily find and use. In February 2010, SSA launched its Open Government Webpage (<http://www.socialsecurity.gov/open>). This is SSA's gateway for activities related to Open Government and it enhances the public's knowledge of its operations, and increases collaboration with the private sector, non-profit, and academic communities.

In addition, the interagency portal *Performance.gov* (<http://www.Performance.gov>) will be available to all Executive Branch agencies. *Performance.gov* provides a window for Congress and other key stakeholders into how the government uses performance information to achieve results.

Reducing Errors through Electronic Submissions

SSA's Internet transaction applications have reduced errors through use of extensive surface and relationship edits that parallel edits in its target programmatic systems. This ensures that mandatory information is collected correctly at the point of input from SSA's clients and eliminates the need for field office re-contacts. Additionally, SSA's applications contain extensive online help features and data requirements, as well as the SSA business process requirements.

Within the Electronic Wage Reporting (EWR) suite of applications, numerous checks and edits are implemented to reduce the likelihood of accepting errant wage files. Users are strongly encouraged to download and utilize the Accuwage tool to check their wage files for errors before submitting them through the EWR Wage File Upload application. Accuwage analyzes the file that the user has prepared for commonly made errors. In addition, the EWR W-2 and W-2c Online applications allow filers to enter their wage data directly into a facsimile of the forms to create their wage files for submission to SSA. These forms contain numerous edits that check for errors within the data. Registered users (employers and certain third-party submitters) are also encouraged to use the Social Security Number Verification System (SSNVS) to ensure that the employee names and SSNs, for which they are providing wage data, match SSA's records.

As an example, wage reports (Form W-2/W-3) filed electronically by employers and third-party preparers with the Social Security Administration contain fewer errors than those reported on paper. Currently, SSA receives 84.5 percent of all wage reports electronically and these reports are processed much faster than paper reports.

Efforts to Comply with Section 508 Regarding Information Management

SSA provides Section 508 compliance oversight for all Agency technology procurements and application development efforts for:

- Web and client/server applications
- Mainframe and screen re-facing applications
- Various electronic documents
- Telecom equipment
- Video and multimedia equipment
- Desktop and portable computers and interfaces
- Assistive Technology Scripts
- Application Development Tools

In addition, SSA:

- Continues to provide high quality online and instructor led Section 508 Training
- Completed major revisions to *SSA.gov* Accessibility Policy
- Added more Section 508 checkpoints to the development and procurement processes that address accessibility throughout the life cycle
- Refined SSA's structured Section 508 testing methodology
- Increased SSA's investment in Best Practices Library
- Increased development consulting assistance to address accessibility throughout the life cycle
- Increased level of support for accessible electronic documentation through training, guides, checklists, and tools to assist with accessible document authoring and testing
- Developed partnerships with social media and major software vendors to improve accessibility of products in use in the Federal Government

- Continues to focus on accessibility research and development through the chief information officer (CIO) Office of Innovation
- As a co-leader on the CIO Accessibility Council, intended to promote best practices and improve the implementation of Section 508 across the entire Federal Government

Quantifying Cost Savings Achieved through Implementation of IT Programs

Individuals filing for retirement benefits can apply via the Internet, telephone, or by visiting their local Social Security office. It takes less time for employees to process online Internet claims than those filed via traditional methods of telephone or in-office.

An Internet retirement application takes about 12 minutes less to process compared to telephone and in-office applications. Nearly 37 percent of retirement claims were processed via the Internet in FY10 with estimated savings of \$1.6M.

Combined with the significant increase in projected retirement applications and SSA's marketing campaigns promoting the use of the online application iClaim, SSA expects to achieve its objective of 50 percent of retirement applications being submitted online by 2012. Considering these factors, projections for additional savings between FY11 and FY19 are estimated at nearly \$100M. These savings will allow SSA to process more of its work in a timely manner.

U.S. Agency of International Development

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

The United States Agency of International Development's (USAID) Information Technology Strategic Plan is located at: http://www.usaid.gov/policy/coordination/stratplan_fy07-12.pdf.

USAID's EA Transition Plan is currently under development and is not publicly accessible via the Internet. The Baseline Architecture can be found at: <http://www.state.gov/documents/organization/110566.pdf>.

Information Dissemination Management to the Public

USAID organizes and categorizes information intended for public access on their website, located at: <http://www.usaid.gov/policy/egov/inventory.html>.

Improved Performance in Support of Agency Objectives and Strategic Goals

USAID is currently evaluating the metrics and statistical methods affiliated with measuring the impact of technology, especially emerging technologies and innovation, in an effort to create a reasonable proxy for repeatedly and consistently predicting performance in support of agency objectives and strategic goals.

Freedom of Information Act (FOIA) Compliance

- USAID's primary FOIA website is located at: <http://www.usaid.gov/about/foia/>.
- The USAID FOIA handbook is located at: <http://www.usaid.gov/about/foia/handbook.html>.
- Documents that are frequently requested by the public under the FOIA are located at: <http://www.usaid.gov/about/foia/webfreq.html>.

Dissemination of Federal Research and Development (R&D) Funding to the Public

USAID does not fund Federal R&D activities. USAID's mission focuses on international development, empowerment of nations, and promoting democracy and prosperity in the world. While USAID performs research towards those ends, it does not perform or fund "R&D activities."

Dissemination of Formal Agency Agreements with External Entities to the Public

USAID does not have formal agency agreements with external entities complementing the agency's information dissemination program. However, in addition to disseminating information through its own website, USAID and its partners maintain many websites dedicated to disseminating USAID mission-related information to communities of practice, communities of interest, non-governmental organizations (NGOs), and the general public. The following is a link to a list of those websites:

http://www.usaid.gov/policy/egov/usaid_portals_projects.pdf.

NARA-Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02

The Disposition Schedule for E-records can be found at:

<http://www.usaid.gov/policy/ads/500/502maa.pdf>. This policy is consistent with NARA General Records Schedule 20, and includes USAID policy on the retention schedule for different kinds of electronic documents.

The Disposition Schedule for paper records can be found at:

http://www.usaid.gov/policy/ads/500/502mac/502mac_toc.html#2. This policy is consistent with NARA guidance, and includes USAID policy on the retention schedule for different kinds of paper documents.

The following is a summary of USAID's records status:

- 155 Total E-Systems or Series
- 124 Total Approved E-Systems or Series
- 25 Total E-Systems or Series Submitted to NARA and Pending Approval
- 13 Total Number of Unscheduled E-Systems or Series
- 96 percent of All E-Systems and Series Approved or Submitted

Implementation of Electronic Signatures for Interoperability

In accordance with Section 203 of The E-Government Act of 2002, USAID is currently researching methods for implementing an electronic signature framework that not only ensures acceptability and compatibility with Office of Management and Budget (OMB) standards, but also provides USAID with the potential for conducting more electronic transactions in a reliable, efficient, and cost-effective manner. USAID has established the use of electronic signatures on a limited number of applications such as the E2 Travel system supported by General Services Administration (GSA) and for some use within acquisitions. The Chief Information Officer (CIO) is actively pursuing funding and sponsorship for increasing the use of electronic signatures within USAID.

Electronic Means of Enhancing Public Participation in Government

The Development Experience Clearinghouse (DEC) is the largest online resource for USAID-funded international development documentation. Through DEC, development experience documents are available to USAID offices and mission staff, Private Voluntary Organizations (PVOs), Non-Governmental Organizations (NGOs), universities and research institutions, developing countries, and the public worldwide.

The Economic Analysis and Data Services (EADS) provide USAID and the development community with access to statistical data on the development process, as well as to data analysis tools. Publicly available USAID statistical data resources include the Global Education Database, Latin American and Caribbean Economic and Social Data, and more.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

USAID intends to institutionalize, in the very near term, the use of multiple measures given the multi-dimensional nature of delivering information and services using IT. The parameters are intended to measure the precision and sensitivity of performance which will lead to more efficient and effective monitoring. USAID is in the process of moving from a limited use of Service Level Agreements (SLAs) to a fully defined program for monitoring the performance of information systems in serving the needs of the Agency.

Reducing Errors through Electronic Submissions

USAID does not currently have statistics regarding error rates using electronic submissions. The USAID CIO plans to include monitoring and addressing the level of errors that occur when using electronic submissions as part of a wider performance monitoring program for Agency information systems.

Efforts to Comply with Section 508 Regarding Information Management

USAID's Web Services division has oversight of the vast majority of the Agency's intranet and extranet content. Web Services reviews all new or updated content to ensure compliance with Section 508 regulations and requirements. A software tool called AccVerify is used during the validation process. The Legislative and Public Affairs Bureau (LPA) reviews all publicly accessible Internet content for 508 compliance.

Quantifying Cost Savings Achieved through Implementation of IT Programs

USAID does not have statistics readily available regarding the cost savings and/or cost avoidance achieved by the agency through the implementation of IT programs. USAID has an established Capital Planning and Investment Control (CPIC) process (<http://www.usaid.gov/policy/ads/500/577maf.pdf>) and requires all IT investments to follow a defined select, control and evaluate model as prescribed by the Clinger-Cohen Act and OMB Circular A-130. However, USAID is not able to aggregate the cost savings and cost avoidance achieved through the implementation of all its IT programs at this time. USAID requires all investment proposals to individually quantify their high-level projected cost savings as part of their cost-benefit analysis prior to consideration by the Information Technology Steering Subcommittee (ITSS) (<http://www.usaid.gov/policy/ads/500/577mab.pdf>). USAID management has recently determined that this high-level analysis did not provide sufficient detail, and as a result the USAID Business Transformation Executive Committee (BTEC) met in January 2010 and approved the Office of the CIO's recommendations and overall strategy for facilitating the analysis of Agency IT environment to promote the effective and efficient deployment of IT services, as determined and driven by the Enterprise Architecture Transition Plan. USAID is currently in the beginning stages of this transformation.