
March 7, 2012
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Introduction

This is the Office of Management and Budget’s (OMB) ninth 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 information technology (IT) activities completed in fiscal year 2011 (FY11) that fulfill the requirements of the annual E-Government Act report to Congress.

Section I describes the use of the E-Government Fund, established by Section 3604 of the E-Government Act. Section II fulfills a Government Accountability Office (GAO) recommendation to addresses accuracy of data on the IT Dashboard, and 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 citizen engagement in FY11. Section VII outlines Federal Government activities that implement E-Government Act provisions and goals. All reports on the implementation of the E-Government Act, from FY03 through the present, are posted on the Office of Management and Budget (OMB) website (http://www.whitehouse.gov/omb).

The use of IT to provide consistent access to and dissemination of Government information promotes a more citizen-centered Government in a cost-effective manner. The release of the National Open Government Action Plan emphasizes efforts to strengthen democracy and promote a more efficient and effective government through greater openness to citizens. 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 lower the barriers to citizen interaction with the Government and access to Government information and services.

Because the Federal Government invests heavily in IT investments, it is essential that citizens see gains in service, quality, and delivery. 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 to enhance management and use of information technology to provide services to citizens and to increase internal Government efficiency and effectiveness. One of the most important provisions outlined in the E-Government Act was the establishment of an E-Government Fund (Fund) that would provide financial support for the innovative use of technology in the Federal Government. Projects supported by the 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 May 2011, the General Services Administration (GSA), in consultation with Office of Management and Budget (OMB) and the Federal Chief Information Officer (CIO) Council, made spending determinations and submitted plans for the use of the FY11 E-Government Funds to the Appropriations Committee. The projects and levels of funding submitted in the notification are shown below:

<table>
<thead>
<tr>
<th>Investment Area</th>
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<tbody>
<tr>
<td>1. Transparency and Federal Funding Accountability and Transparency Act (FFATA) Implementation</td>
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</tr>
<tr>
<td>2. Improving Innovation, Efficiency and Effectiveness and Federal IT</td>
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<td>3. Citizens Engagement Platform (CEP) Access / Web 2.0</td>
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<tr>
<td>4. E-Government Project Management Best Practices</td>
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</tr>
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<td><strong>Total</strong></td>
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*$8M appropriation including a rescission of $16,000 = $7,984,000

The details of the initiatives funded by the FY10 E-Government Fund are as follows:

1. **Transparency and Federal Funding Accountability and Transparency Act (FFATA) Implementation**

These projects support ongoing efforts to increase transparency and accountability of Government information.
USAspending.gov: USAspending is the only Government on-line source that makes Federal spending in contracts and grants visible to Congress, agencies, the public and better Government interest groups. It allows for information to be researched by firm, state, locality, congressional district, type of spending, and other categories.

- Benefits: USAspending creates an on-line, publicly accessible capability to examine contracts, grants, loans, and other types of spending across many agencies in greater detail than has been possible in the past. It is a key ingredient to building public trust in Government and credibility with the Government and industry professionals who track this critical information.

Small Business Dashboard: The Small Business Dashboard a specialized, publicly accessible on-line web reporting capability of USAspending that shows the amount of Federal spending that goes to the small business community by agency and compares that to agency goals.

- Benefits: Collecting data about the various types of contracts, grants, loans, and other types of spending in our Government that are awarded to small businesses is a critical policy matter that demands transparency. The ability to look at contracts, grants, loans, and other types of spending going to small businesses Government-wide is a high priority for the Administration and the Congress.

FFATA Subaward Reporting System Assistance (FSRS): The FSRS provides telephone help desk assistance to prime contractors and grantees that must report subaward information to the FFATA Subawards Reporting System (FSRS). This is an important feature of the USAspending data.

- Benefits: The FFATA Subaward Reporting System (FSRS) is the reporting tool that Federal prime awardees (i.e. prime contractors and prime grants recipients) use to capture and report subaward and executive compensation data regarding their first-tier subawards to meet the FFATA reporting requirements. It is the only way to get information below the prime contractor level and expose it to the public and regulators. Subawards are a large part of the distribution of Federal funds.

IT Dashboard: The Federal Government spends approximately $80B annually on information technology (IT). This system provides transparency and details about major Government IT projects, including contracting, type of spending, goals and performance/results. It includes a rating system that reflects the overall performance of each IT investment, and is used by the Office of Management and Budget (OMB) and agencies as the basis for Executive level technology review sessions, both inside the agencies and with OMB and the Congress.

- Benefits: Agency Chief Information Officers (CIOs) use the IT Dashboard within their organizations to bring necessary management attention to troubled projects. Changes made based on management insight gained from the IT Dashboard has resulted in more than $3B in savings through the TechStat process. In 2011, OMB trained agencies on TechStat and publicly released the training material, leading to more than 100 agency-level TechStat reviews and robust sharing of best practices through the CIO Council.
TechStat subcommittee. In 2011, due to the high demand from Federal agencies and the software development community, the source code of the IT Dashboard was made available to state, local, international governments and the public at no cost. This first open source release represents a starting point, enabling communities of interest to adapt and mature their own versions of the IT Dashboard to their own unique needs. Additionally, the user community requested updates from the IT Dashboard to be made available through mobile devices, and this request has been implemented.

Performance.gov: Performance.gov is a user-friendly website that enables the public, Congress, Federal employees, and others to monitor progress being made by the Administration in cutting waste, streamlining Government, and improving performance. Specifically, Performance.gov provides information on the following areas of focus: acquisition, financial management, human resources, technology, performance improvement, open government, sustainability, and customer service.

- **Benefits:** Performance.gov aggregates data from across the Government into a single site, improving the transparency of Government-wide efforts to improve management and facilitating cross-agency learning, benchmarking, and coordination. Much of this information was previously housed on Government-wide and agency websites with inconsistent approaches and formats, which did not provide user friendly views or the ability to identify best practices, learn across agencies, or conduct Government-wide comparisons. Centralizing the display of this information supports more cost efficient operations and improved transparency.

Data.gov: Data.gov is a flagship Open Government site which provides a one-stop catalog of U.S. Government data available to download, mash-up, or analyze. It provides information about datasets (metadata) and practical tools to view or use the data. As of FY11, over 236 citizen-developed applications have been built by the public using the data provided. It is the centerpiece of the global open democracy movement and has been emulated by over 16 countries, along with many state and local governments seeking to increase transparency and accountability, while fostering innovation. Work is underway to make the software open source so that other governments around the world can use it to implement their programs faster and with less cost.

- **Benefits:** Data.gov aggregates more than 400,000 datasets from 24 agencies and 172 sub-agencies. Individual agencies avoid creating their own data integration platforms, with Government-wide potential savings of approximately $14.4M (based on estimated costs of $600,000 per agency site). Apps powered by Government data are being created at less than 2 percent of the previous cost of direct funding ($700/app through data.gov based challenges vs. $30,000-$150,000/app through direct Government funding). Estimated savings are $4M to date and are growing exponentially. Developers have access to data from multiple agencies, allowing them to aggregate and innovate in new ways. In the Health.Data.gov Community, 139 apps have been developed at the cost of approximately $100,000 in challenge prizes. Of these, 45 are already creating economic gain and new jobs at the companies and startups that created them. Communities like Health and Energy are able to aggregate content, collaboration capabilities, and data across agencies. The creation of such individual cross-cutting sites
averages $600,000 individually. With six communities today, and four more expected in the next few months, this yields a potential savings of $5.5M.

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<td><strong>Total</strong></td>
<td><strong>$7.24M</strong></td>
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2. **Improving Innovation, Efficiency and Effectiveness and Federal IT**

The projects funded under this initiative facilitate development of tools, practices, and procurement opportunities to accelerate use of secure, easy to use, on-demand, Federal cloud computing services. This initiative will continue to develop and expand in FY12, building upon what was achieved in FY11. Major projects are listed below:

**Federal Cloud Computing Program Management Office (PMO) Federal Data Center Consolidation (FDCC):** The FDCC is housed in Office of Citizen Services and Innovative Technologies (OCSIT), the Federal Cloud PMO facilitates adoption of cloud computing Government-wide, enabling enormous savings by substantially improving the efficiency of the overall Federal IT portfolio. With cloud computing, agencies pay for only IT resources they use in response to fluctuating program demands, avoiding the expenses of building and maintaining costly IT infrastructure. The PMO works with OMB and the Federal CIO Council to coordinate activities across agencies, providing input for new Government-wide cloud contracting vehicles and sharing best practices in cloud adoption.

The Cloud PMO assists with the management of the Federal Data Center Consolidation (FDCC) Initiative. The FDCC is reversing the growth of Federal data centers and shifting IT investments to more efficient computing. Since February 2009, agencies have been compiling inventories of their data center assets, evaluating opportunities for consolidation and closures, and planning to realize estimated long-term savings in the billions of dollars.

- **Benefits:** Tangible cost savings are realized through the implementation of cloud-based data storage, web hosting, and streamlined provisioning of IT commodities. A 2010 Brookings Report found that agencies generally saw 25-50 percent savings when moving to the cloud. For the Federal Government as a whole, this translates into potentially billions of dollars in cost savings. Agencies have already realized substantial cost savings and productivity gains using cloud computing. For example:
  - GSA has completed a transition of 17,000 e-mail accounts to a cloud environment. GSA expects to reduce operating costs by 50 percent over the next five years, saving more than $15.2M.
In concert with GSA’s Federal Acquisition Service (FAS), the Federal Cloud PMO has established cost-effective procurement vehicles that allow agencies to purchase IT resources as commodities. The Infrastructure as a Service (IaaS) Blanket Purchase Agreement (BPA) was awarded under GSA Schedule 70 to 12 diverse cloud service providers. This allows agencies to compare prices for commoditized IT services including web hosting, storage, and virtual machines, resulting in significant pricing competition and efficiencies. GSA will be awarding another BPA that allows agencies to purchase various types of secure cloud-based e-mail services in the next few months.

Data Center Consolidation savings by the end of 2015 are expected to be $3B, based on analysis of information provided by the agencies in December, 2011, which shows that agencies plan to close over 500 data centers by the end of 2012. Agencies are on track to close over 1,000 data centers by 2015. Reducing the overall energy and real estate footprint of Government data centers, and reducing the overall cost of data center hardware, software, and operations also provides substantial improvements in environmental sustainability.


- Benefits: FedRAMP enables agencies to deploy cloud technologies quickly and in a secure environment, while realizing economies of scale. Currently, each agency conducts its own security C&A process for every IT system it acquires. According to the 2009 Federal Information Security Management Act (FISMA) report to Congress, agencies reported spending $300M annually on C&A activities alone. FedRAMP will substantially reduce these costs by providing a single, provisional authorization that can be used by all agencies as the basis for issuing an Authority to Operate (ATO). Savings from leveraging the ATO across agencies are estimated at a 50 percent reduction in staffing, 75 percent reduction in assessment time, and $200,000 cost avoidance every time an agency leverages the FedRAMP ATO, far exceeding the cost of the program.

Cloud Contract Vehicle Development and Apps.gov: In coordination with GSA’s Federal Acquisition Service (FAS), the Cloud Computing PMO develops requirements and supports the establishment of competitive Government-wide contract vehicles that enable agencies to acquire secure, commercially available cloud solutions for infrastructure, email, and other commodity services.

Apps.gov is an on-line storefront that provides access to over 3,000 cloud-based products and services where agencies can research solutions, compare prices, and place on-line orders using GSA’s eBuy system.

- Benefits: Timely adoption of cloud computing depends on availability of streamlined contracting vehicles that are designed specifically to ensure the performance, reliability, cost effectiveness and security of cloud services. GSA’s cloud BPAs and Apps.gov
leverage the purchasing power of the Government, making cost-effective, commercial solutions available to agencies so that they do not need to each develop duplicative contracts that would waste scarce resources both for Government and industry.

**Innovation and Mobile Apps Platforms:** Simplifies and improves access to Government by leveraging the power and capabilities of mobile devices that enhance delivery of citizen and business services and that increase accountability and trust in Government. Mobile technology has the potential to transform Government by enabling citizens to obtain information and services anywhere, anytime. This program was not funded in FY11, due to E-Government budget reductions.

- **Benefits:** Simplifies and improves access to Government by leveraging mobile technology to enable citizens to obtain information and services from the Government anywhere and anytime. On-line services provide information and services available to citizens for lower costs than through other channels. In FY11, OCSIT launched a modest initiative to establish a central repository of Government-wide mobile apps, and has identified and built consensus around five critical areas that need to be addressed in FY12 to enable widespread adoption and strategic use of mobile technologies by agencies across Government.

**FedSpace:** This system was available to Federal employees on a limited pilot basis to work collaboratively on-line across agencies to communicate, learn, share, and form problem-solving groups and working communities. FedSpace provides a unified, comprehensive platform for sharing information and solving common problems. This program was not funded in FY11, due to E-Government budget reductions.

- **Benefits:** FedSpace enables Government employees to work securely and collaboratively across agencies by leveraging common tools, making content and resources available more consistently. FedSpace saves Federal agencies the cost of buying or building their own collaboration solutions. A beta version was launched to provide basic services and tools to Federal employees and contractors and was well-received across Government. FedSpace provides a business platform for people to find others in the Government working in the same domain area, trying to solve the same problems within different agencies. It will provide a shared space for document sharing; much like Thomas provides a shared information space for the legislative process. The benefit is that each agency will not have to develop its own system at a cost of over $1M per year.

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<td>FedRAMP (Cloud Security)</td>
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<td>Cloud Contract Vehicle Development, Apps.gov</td>
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<td>FedSpace¹</td>
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<td><strong>Total</strong></td>
<td><strong>$0.74M</strong></td>
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3. Citizens Engagement Platform (CEP) Access / Web 2.0

Citizen Engagement Platform: This platform creates a more open, transparent, and collaborative Government by identifying and providing public dialogue tools to Federal agencies at no cost, for use in agency-specific initiatives that enhance citizen engagement and interaction. These new technologies and tools are made to be compliant with Federal regulations and guidance, and agencies are educated on the effective use of blogs, wikis, and forums to engage with the public. This program was not funded in FY11, due to E-Government budget reductions.

- Benefits: This platform and proven tools allow agencies to add policy-compliant, no-cost social media capabilities, such as blogs and wikis to their websites within hours. It reduces the need for agencies to do procurements and to invest in their own, duplicative technology solutions for engaging with the public. Nearly 50 tools have been procured, which would have cost agencies an estimated $368,000 (for each agency) in developers’ time to acquire and make each instance of the tool compliant with security, disability accommodation (Section 508), and other Federal laws and regulations.

Challenges Platform: Challenge.gov provides a no-cost platform for agencies to launch challenges and contests to leverage expertise and knowledge outside of the Government and the traditional contracts and grants process. Solutions to Government’s most pressing problems can be obtained easily from the public, industry and academia without requiring significant Federal funding. Challenge.gov is operating currently with no funds to make changes and improvements. This program was not funded in FY11, due to E-Government budget reductions.

- Benefits: Challenge.gov provides agencies a free, Federally-compliant platform for conducting challenges and prizes with the public. Based on feedback from agencies, comparable services would cost agencies an average of $50,000 - $150,000 per challenge. We expect to host 150 challenges in FY12, saving an estimated $15M, compared to procuring comparable challenge hosting services from outside vendors. Additionally, individual challenges have yielded extremely cost effective, creative solutions as demonstrated by the examples below:
  - **Center for Disease Control (CDC) FLU App Challenge**: 96 submissions, 9 winners shared $35,000 in prize money. Development of comparable apps typically costs $40,000 each. CDC realized a $325,000 return on its $35,000 investment, [http://fluapp.challenge.gov](http://fluapp.challenge.gov).

¹ FedSpace is managed by OCSIT. The minimum IT steady-state funding is $2.0M.
SMART Apps for Health (Health and Human Services [HHS]): 15 submissions, 1 winner received $5,000 prize. HHS gained Return on Investment (ROI) of $35,000 worth of apps that enable viewing and printing of simplified medication instructions in a dozen languages, http://challenge.gov/challenges/134/submissions.

Apps for Healthy Kids (U.S. Department of Agriculture [USDA]): Led to the creation of over $5M worth of software and games in exchange for $60,000 in prizes. In addition, the challenge resulted in over 100 print articles, 200 web articles, 50,000 tweets, and 50,000 Facebook postings, which generated awareness of a top policy and USDA mission priority on a scale difficult to achieve via normal press releases and outreach, and at a fraction of the cost.

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**Project Management Best Practices:** The Project Management Best Practices is designed to provide resources and expertise to consider the root causes of problems impacting Federal IT projects and to identify practical solutions. In FY12, the Best Practices initiative will expand work initiated to establish, identify, and promote best practices in IT personnel management, IT program management, and IT procurement and to identify barriers to implementation. This initiative will evaluate and revise existing guidance, oversight processes, and reporting requirements to increase their effectiveness in improving IT implementation outcomes. This effort resulted in OMB’s 25 Point IT Management Reform Plan that was announced in December 2010. This program was funded from FY2010 appropriations.

- Benefits: Implementation of the 25 Point plan is transforming management of the Federal IT portfolio. Disciplined, data driven management practices have been put in place that dramatically improve delivery of IT projects and systems, on time and within budget, to enable achievement of desired agency mission results.

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Section II: IT Dashboard

June 2011 was the third anniversary of the IT Dashboard launch. The IT Dashboard continues to be a valuable tool in driving accountability and transparency in Federal IT spending and management. Using IT Dashboard data, the Office of Management and Budget (OMB) and
agencies have undertaken numerous TechStat accountability sessions to root out waste and accelerate the delivery of critical Federal IT investments. Highlights in FY11 included major improvements to the data schema and continued work with agencies and the General Accountability Office (GAO) to improving the quality of the data reported.

**New reporting schema**
In response to the 25 Point Implementation Plan to Reform Federal Information Technology Management, OMB worked closely with agencies during FY11 to ensure that unnecessary IT investment reporting requirements were eliminated and existing requirements adjusted to better match actual business practices within the agencies. As a result of this work, in July 2011 OMB published substantially updated IT investment reporting guidance for Exhibits 53 and 300. These new requirements necessitated several changes to the data schema and in IT Dashboard functionality. A few examples of these changes include:

- Detailed project level information for all major IT investments, providing project and activity level variance;
- Updated operational metrics data, to provide improved insights into investments in operations and maintenance mode;
- Required reporting of project managers and integrated project team (IPT) members; and
- Removal of several questions deemed of limited value by agencies and OMB.

New functionality resulting from these changes will be revealed on the public-facing Dashboard in coordination with the release of the President’s Budget for FY13.

**Addressing data quality**
The subject of several GAO findings, data accuracy has improved significantly since inception, but much progress still needs to be made. In some areas, such as complete contract information, agencies made substantial progress but work remains in other areas such as incomplete/inaccurate data, for example:

- Activities missing dates,
- Rebaselines missing comments,
- Percentages complete contradicting dates, and
- Investments categorized as Operations and Maintenance (O&M) with future planning or acquisition costs.

To improve awareness of such data quality trends, OMB tracks likely data quality issues on a regular basis. Also, OMB has introduced additional validations to improve the accuracy of agencies’ FY13 IT budget submissions.
Section III: IT Workforce

The E-Government Act requires improvement of the skills utilized by the IT workforce in using Information Technology (IT) to deliver Government information and services. IT workforce initiatives have also yielded success over the past year. To address a recognized need for strengthening the IT workforce, the Administration created a new job title for IT program managers, ensuring that the largest, most complex IT investments in the Government were managed by experienced and talented individuals. Additionally, the Technology Fellows Program was launched, which will reduce the barriers to entering public service, and provide access to unique career opportunities in Federal agencies to highly talented technology professionals.

Additionally, the Chief Information Officer (CIO) Council’s IT Workforce Committee, with over 49 volunteer member agencies and non-governmental organizations, is in the forefront of this ongoing effort to recruit, develop, and retain a workforce that has the 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 cybersecurity and privacy protection,
- Increases in the efficiency and effectiveness of government operations.

To help achieve those goals, the IT Workforce Committee supports and facilitates various programs and initiatives. Committee members serve on interagency workgroups and initiatives to improve skills and close gaps in IT workforce capabilities. In 2011, this was done through initiatives such as:

**CIO University, managed by the General Services Administration (GSA):**
This unique program, partnering with seven nationally-known universities (Syracuse, George Mason, George Washington, Carnegie Mellon, LaSalle, University of Maryland-University College, and the National Defense University), has transformed the updated Clinger-Cohen required competencies into specific curricula targeted at current and future government IT executives in accordance with Section 209 (Federal Information Technology Workforce Development) of the E-Government Act. Students who enroll and graduate from specific IT graduate degree programs at any of these Universities receive diplomas from their institution and in addition are awarded a CIO University Certificate from the Government. Degrees offered include Master of Science in Technology Management, Master of Science in Information Systems Technology, Master of Science in Information Management, and others. Typically 40 percent of program graduates are Government employees (including Federal, state, local or tribal) and the remaining 60 percent are from the private sector. Over 1400 people have graduated from the program over the past eleven years of its existence; in 2011, 305 students graduated from the program. The National Defense University only recently joined the program, but in 2011 graduated 138 students.

**Cybersecurity Workforce Training and Professional Development:**
To ensure proper coordination, cooperation, focus, public engagement, technology transfer and sustainability, the National Institute of Standards and Technology (NIST) leads the National
Initiative for Cybersecurity Education (NICE) program to “enhance the overall cybersecurity posture of the United States by accelerating the availability of educational and training resources designed to improve the cyber behavior, skills, and knowledge of every segment of the population, enabling a safer cyberspace for all”. Members of the IT Workforce Committee serve on groups within NICE to address these issues. Specifically, Committee members co-lead the effort addressing national cybersecurity digital literacy training and are members of the team addressing training and professional development programs for the existing cybersecurity workforce.

In 2011, NIST charged the NICE initiative to develop a taxonomy of cybersecurity roles. Over the last year Committee members have collaborated with NICE on coordination of the IT Workforce Committee (ITWFC) initiative on Information Security Workforce Matrices (see below), and in developing the NICE Cybersecurity Workforce Framework. This is a structure that organizes cybersecurity work into seven categories and 31 specialty areas that provide the means for understanding cybersecurity functions across every sector of the public and private sectors. Future NICE work will refine the framework, map training and education to the documented specialties, and identify gaps and associated future needs. The ITWFC Matrix Project Team continues to work with NICE and will use this emerging framework to select roles for future Federal cybersecurity matrix development. Although the initial matrices published in 2011 are not directly aligned with the NICE framework, all future matrices will use the NICE framework specialty areas.

Cybersecurity Matrices:
The CIO Council’s Information Security and Identity Management and IT Workforce Committees (ISIMC and ITWFC, respectively) announced the release of four of the Cybersecurity Workforce Development Matrices and the accompanying Cybersecurity Workforce Development Matrix Resource Guide in October 2011. The matrices were created with input from Subject Matter Experts across multiple agencies during focus group sessions. The information contained in each of the one-page matrices is intended to give Federal IT Departments and agencies a common framework for describing competencies/skills, education, experience, credentials and training needed by performance level for each of the identified roles. The Resource Guide is intended to assist line managers, business unit leaders, hiring managers, and HR professionals engaged in IT workforce development initiatives. The matrices published are for the roles of: Chief Information Security Officer, Information Security Assessor, Systems Operations and Maintenance Professional, and Information Security Systems & Software Development Professional.

IT Job Shadow Day:
Each year, the Federal CIO Council sponsors an IT Job Shadow Day. Over 400 high school students, from the Washington DC Metropolitan area as well as several locations around the country, participated in IT Job Shadow Day for 2011. Each agency/school partnership chose their own best date for the function, and all Job Shadow Days were completed by the end of the 2010-2011 school year. IT Job Shadow Day is an academic activity designed to give students the unique opportunity to observe the Federal IT work world, learn about Federal agencies and “shadow” IT professionals as they go through their work day. The program encourages students to pursue a career in the Federal IT field.
Office of Personnel Management (OPM) Collaboration:
During this period, members of the IT Workforce Committee served as Subject Matter Experts and focus group participants working with OPM on the Cybersecurity and IT Program Management Competency Models. Data from the IT Workforce Capability Assessment (ITWCA) was used to provide and validate data for OPM’s work on IT Project and Program Management Models as part of the 25-Point Implementation Plan to Reform Federal Information Technology.

Clinger-Cohen Core Competencies Review:
Committee members are currently completing the Government-wide biennial review of the competencies required by 40 USC 11315(c)(3) (Clinger Cohen Act) and 44 USC 3501, Section 209 (E-Government Act).

Scholarship for Service (SFS), co-led by the National Science Foundation (NSF) and the Department of Homeland Security(DHS):
This program includes scholarship and capacity-building components that attract high-caliber students from institutions designated by the National Security Agency (NSA) and DHS as National Centers of Academic Excellence in Information Assurance Education (CAE/IAE) and selected by NSF through a competitive process. The Office of Personnel Management (OPM) works with NSF by providing placement assistance and coordinating student compliance with the program’s service component. The Committee supported this highly successful program by co-sponsoring two SFS events this past year: a Federal Briefing about the SFS program in November; and the Annual SFS Symposium and Job Fair in January.

Information Technology Workforce Capability Assessment (ITWCA):
The IT Workforce Committee in partnership with the Office of Personnel Management (OPM) administered the 2011 Information Technology Workforce Capability Assessment Survey (ITWCA) to Federal civilian employees who regularly perform IT functions between January 18, 2011 and March 4, 2011. The ITWCA provided every Federal Executive Branch IT employee with the opportunity to help shape the future of the IT workforce - not only in his or her agency, but also for the Federal Government as a whole.

**Purposes.** The purposes of the ITWCA were to:

- Assist employees in long-term career planning by providing a template by way of the individual survey results to discuss professional development with their managers;
- Contribute to the progress of each agency’s mission by providing a snapshot of the agency IT workforce in order to effectively plan for the future; and
- Provide a holistic view of the capabilities and skills across the entire Federal IT workforce. The input provided by individuals was aggregated to identify the supply of IT expertise across the entire Federal IT workforce.

**Response Rate.** In December, 2010, OPM Fedscope estimated there were 103,322 Federal employees in the Federal IT Workforce. 17,662 Federal employees from 63 agencies completed the assessment, which allowed respondents the opportunity to document the types of specialized IT activities they regularly perform, and to self-assess their own levels of proficiency in various technical competencies and IT skills. This represents a response rate of slightly over 17 percent.
22 separate occupational series were listed in the survey as series which regularly perform IT functions; in addition to those, almost 1,000 individuals stated that they were in occupations not normally considered IT, but that they regularly performed IT functions.

Demographics. 44.3 percent of survey respondents stated they were 51 years of age or older; 50.5 percent stated that they had over 20 years of Federal and/or military service. As of the time of the survey (January-March 2011), 19.2 percent of the respondents stated that they were eligible for retirement within three years. The average GS grade of the respondents was GS-12. Over 67 percent identified themselves as college graduates.

Cybersecurity. 42.2 percent of all the respondents stated that they regularly perform cybersecurity-related work. 20.4 percent of cybersecurity respondents stated that they were 51 years of age or older. These individuals identified key cybersecurity competency training needs in Vulnerabilities Assessment (35.8 percent), Computer Network Defense (32.3 percent), and Security Compliance (28.8 percent).

IT Program Management. 25.9 percent of respondents identified themselves as IT Program Managers. IT Program Management was identified as:

“…the discipline of organizing and managing resources for more than one IT project, which together advance accomplishment of one or more strategic goals of the organization.”

40.2 percent of Program Management respondents were in grades GS-13 and GS-14. 26.6 percent were age 51 or older. 72.9 percent of IT Program Managers held a four-year degree or higher.

IT and Human Capital leadership in agencies and across the Federal Government as a whole are able to review the ITWCA analysis and use the findings to make informed decisions on the capabilities, skills, and resources that the IT workforce will need to help agencies successfully accomplish their missions. Analysis of the survey information will also contribute to strategies to recruit, retain, develop and manage a fully-trained and qualified IT workforce to meet current and future mission requirements.
Section IV: Disaster Preparedness

The Office of Management and Budget (OMB) in consultation with the Department of Homeland Security (DHS)/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

Disaster Assistance Improvement Program (DAIP) maintains a Government-wide single portal for disaster survivors to submit electronic applications for assistance. The mission of the DAIP is to ease the burden on disaster survivors by providing them with a mechanism to access and apply for disaster assistance through the collaborative efforts of Federal, state, local, tribal and nonprofit partners. DisasterAssistance.gov provides disaster survivors with a single source for potential assistance programs, easy access to the application, application updates and disaster related information.

Following a presidentially declared disaster, individuals in need of individual assistance can register for assistance online at http://www.DisasterAssistance.gov. Each year approximately 50 presidentially declared disasters cause injury and death, destroy homes and business, and disrupt the lives of hundreds of thousands of people across the nation. DisasterAssistance.gov brings together all Federal agencies that offer forms of assistance to simplify the process for disaster survivors. Users can apply for DHS/FEMA individual assistance and Small Business Administration (SBA) loans through online applications and can also receive referral information on forms of assistance that do not currently offer online applications. The DisasterAssistance.gov Web portal eases the burden on disaster survivors and increases their access to disaster relief by creating a continually updated information clearinghouse that provides information on the benefits most valuable to a disaster survivor, such as housing, food and employment aid in both English and Spanish. DisasterAssistance.gov reduces the time needed to apply for aid and check the status of claims while decreasing redundancy in application forms and processes. The portal ensures that disaster survivors, who may be displaced or otherwise out of contact, continue to receive benefits from non-disaster related assistance programs. Application information is shared only with those agencies that the user selects.

2011 has been described by many as the “busiest year” for Federal Disaster Declarations. Since January 1, 2011, there have been 86 major disaster declarations across the United States. In each case, the DisasterAssistance.gov site has provided immediate assistance to survivors.

Disaster Management

The E-Government (E-Gov) 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, increase responsiveness to citizens/business, and enhance Government-wide efficiency and cost effectiveness. The DM program’s mission is to improve accessibility and availability of timely, accurate disaster-related information to the public, those affected by disaster, first responders, emergency managers, and others. The program is essential to the overall FEMA mission to enable first responders to communicate and collaborate with 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 information.

DM 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 Federal, state, local, regional and tribal levels. Portal Integration will allow for more accurate, timely information availability to all stakeholders. The integration of the website with FEMA Call Centers provides a greater degree of self-service and answers to Frequently Asked Questions (FAQs). All program activities work to ensure ease of access to services, as well as to assist those seeking services the ability to obtain support more quickly and effectively.

DM facilitates the development and adoption of emergency data exchange language standards for incident management, thus 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. Ownership of both DM-Framework and DM-OPEN will be transitioning from the DM Program to the FEMA National Continuity Programs (NCP) Integrated Public Alerts and Warning System (IPAWS). This effort was completed in September 2011.

The DM FY11-FY12 plan focuses on supporting the President's Open-Gov initiative by providing transparency via the ability to provide timely, findable, accurate information in usable formats on FEMA websites, through participation and collaboration, development and utilization of tools, methods, and systems that allow data to be analyzed and accessed easier for decision-making, and web consolidation, website management and outreach, and integration of the Disaster Assistance Knowledgebase and Call Center/Website Integration. Priorities include:

- Continued rollout of the CMS across DHS components;
- Consolidation of Web content to more easily access information on cross-cutting national initiatives that FEMA manages for the benefit of Federal departments and agencies and the American people, such as the National Exercise Program, National Training Program,
lessons learned and corrective action platforms, grant programs, and FEMA’s role in coordinating the Federal response and recovery efforts during disasters;

- Update and enhancements to FEMA mobile site and the FEMA mobile application; and
- Research, design, and development of emerging technologies.

SAFECOM
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.

In FY12, SAFECOM plans to update and deliver the annual SAFECOM grant guidance document to help maximize the efficiency in which public safety communications-related funds are allocated and spent; provide guidance and support to the Office of Emergency Communications as it conducts follow-up, state-wide planning evaluation activities; and provide guidance and support to the Office of Emergency Communications in its delivery of state-wide and tactical technical assistance to state, local and tribal governments and first responder organizations.

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.
Section V: Geospatial

To minimize redundant data collection and information, the E-Government Act requires the promotion of collaboration and use of standards for the collection and use of Federal geospatial data and information. The effective and efficient development, provision, and interoperability of geospatial data and services serve the interest of the Nation and the core missions of Federal agencies and their partners. Through interagency collaboration, common business best practices, content development, and technology requirements are identified to enable the development and implementation partnerships and standards that improve data quality and utility, ultimately increasing access to valuable geospatial data.

The Federal Geographic Data Committee (FGDC) has been active in 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. The remainder of this section lists and explains activities and accomplishments in FY11.

National Geospatial Advisory Committee
The National Geospatial Advisory Committee (NGAC) is a Federal Advisory Committee sponsored by the Department of the Interior to provide external advice and recommendations to the member agencies of the FGDC. The NGAC includes members from all levels of government, the private sector, non-profit organizations, and academia. The NGAC promotes two-way communication on issues of common interest to the national geospatial community and provides a forum to convey views representative of Interior’s partners and stakeholders. Over the past year, the NGAC has analyzed and provided recommendations on a number of key geospatial policy issues. Highlights of the NGAC’s 2011 activities include the following:

- The NGAC developed recommendations on the Geospatial Platform initiative, The National Map, geolocation privacy, the National Land Imaging Program, Transportation for the Nation, and the Lidar/laser pointer issue.
- The NGAC prepared white papers on local government Geographic Information Systems (GIS) best practices and best practices for interagency data sharing.
- The NGAC held a series of “spotlight sessions” which brought together experts on key topics to discuss new approaches and identify best practices and lessons learned. The spotlight sessions focused on the topics of interagency data sharing, geospatial workforce development, and National land parcel data.
In 2012, the NGAC will continue to provide advice and feedback on the development and implementation of key geospatial topics, including innovative strategies for geospatial programs and partnerships, the Geospatial Platform, geospatial workforce development, emerging technologies, and partnerships with tribal governments. These multi-faceted activities will be a major focus of the NGAC’s work over the coming year.

FGDC Standards Process
The FGDC endorsed the United States Thoroughfare, Landmark and Postal Address Data Standard and Federal Trails Data Standard.

The FGDC Standards Working Group is responsible for review and recommending endorsement of standards developed by FGDC Subcommittees/Working Groups and other entities through the FGDC’s 12-step standards development process. The FGDC standards process was developed to be similar with the procedures used by other recognized standards development organizations, including the International Organization for Standardization (ISO), the American National Standards Institute (ANSI), and the Open Geospatial Consortium.

For E-Government processes, the Office of Management and the Budget (OMB) and the General Services Administration (GSA) mandate the use of validated E-Government standards for acquisition and deployment of E-Government services. In 2007, the National Institute of Standards and Technology (NIST) validated FGDC standards for E-Gov activities, as they have been developed through a rigorous standards process; consequently, FGDC standards do not need to be submitted through an additional NIST evaluation panel process.

Geospatial Metadata
The FGDC led a community effort to generate and compile input to the ISO 19115: Geographic Information – Metadata five-year review. The information collected from the community provided critical insight into issues experienced when applying the standard to real world geospatial data and operations. A revised draft international standard is expected to be released in November 2011 as ISO 19115-1 Geographic Information – Metadata - Fundamentals.

OMB Circular A-119
OMB Circular A-119 directs Federal agencies to use voluntary consensus standards in lieu of government-unique standards whenever applicable and to participate in voluntary consensus standards bodies. According to OMB Circular A-16, “… the FGDC … will restrict its standards development activities to areas of spatial data standardization not covered by other voluntary standards consensus bodies, as defined by OMB Circular A-119.”

The FGDC Steering Committee endorsed the “FGDC Policy on Recognition of Non-Federally Authored Geographic Information Standards and Specifications” in 2005 to enable the FGDC SWG to evaluate and recommend non-Federally authored standards for FGDC endorsement. The FGDC Policy notes that while OMB Circular A-119 directs Federal use of voluntary consensus standards, it does not expressly define a mechanism for the identification, selection, and coordinated implementation of voluntary consensus standards. The FGDC exercised this policy to endorse 64 non-Federally authored standards that enable interoperability for the Geospatial Platform, Data.gov, place-based initiatives, and other potential future programs of the FGDC.
The FGDC participates in voluntary consensus standards bodies, as directed by OMB Circular A-119.

The FGDC and its member agencies participate in public/private partnerships on standardization activities through organizations such as ISO Technical Committee 211, Geographic Information/Geomatics, the OGC, and International Committee for Information Technology Standards Technical Committee L1 (INCITS L1), Geographic information systems. Through participation in these standards bodies, the FGDC leverages the knowledge, skills, and talent of the geospatial community in the development and implementation of standards that enable information, data, and service interoperability among diverse segments of the geospatial community.

FGDC GWG Process Alignment

Within the Federal Government, the two primary standards bodies that develop and/or evaluate geospatial standards are 1) the FGDC and 2) the Geospatial Intelligence Standards Working Group (GWG), chaired by FGDC member agency the National Geospatial-Intelligence Agency (NGA).

The FGDC recognizes the need for common standards across the defense, intelligence, and civilian communities, as these communities establish a common operating environment. This becomes a key factor, as geospatial business requirements between operational areas draw closer together. The GWG provides a consensus-based community forum authorized to prescribe and mandate geospatial standards for use by Federal Government organizations within the Department of Defense and the Intelligence Community. The FGDC is the GWG’s link to the civilian community. Through participation on the GWG, the FGDC leverages the resources of the military and intelligence communities to review and evaluate the many standards that were developed through ISO, OGC, and other standards bodies.

In 2011, the FGDC developed a standards review and approval process to align with the process used by the GWG so that there will be common standards among the defense, intelligence, and civilian communities. The FGDC implemented the process for the third, and final, GWG voting session for 2011.

Geospatial Platform

The Modernization Roadmap for the Geospatial Platform was completed and provides a framework to describe the concepts and goals of the Geospatial Platform. This “Roadmap” concludes the upfront planning process for the Platform and paves the way for implementation activities.

The Geospatial Platform website (http://www.geoplatform.gov) was launched, including the Environmental Response Management Application (ERMA) that allows access to data and information pertaining to the Deepwater Horizon Oil Spill. The Geospatial Platform is a managed portfolio of common geospatial data, services, and applications contributed and administered by authoritative sources and hosted on a distributed, cloud-based infrastructure, for use by Government agencies and partners to meet their mission needs and the broader needs of the Nation.
Cloud Computing
A number of FGDC member agencies, including the General Services Administration (GSA) Federal Cloud Computing Initiative PMO, the Department of the Interior (Interior), the United States Department of Agriculture (USDA), Department of Commerce (NOAA and the Census Bureau), and others continued the process of deploying standard Platform as a Service for geospatial data services and applications. Two cloud reference platforms have been developed, for the CentOS/openGeo and Windows2K8R2/ArcGIS environments to create stable targets for shared system certification. Key systems that are now public-facing include: the Census Bureau 2009 TIGER data service, the National Wetlands Inventory, GEOSS Clearinghouse, and the ERDDAP particle tracking model system. In a few cases, these cloud deployments also constitute agency offerings in the "CIO Cloud First" initiative. GSA Infrastructure as a Service (IaaS) certification of the basic cloud infrastructure is being sought as infrastructure to host these "Platform as a Service" (PaaS) solutions. Rapid deployment of approved platform configurations is expedited through use of GeoCloud-developed scripts, allowing agencies to deploy new services within hours. Cost-benefit analysis and best practices are being prepared by all the projects to improve uptake of cloud services by additional Federal geospatial applications.

OMB Circular A-16 Supplemental Guidance
The Supplemental Guidance for OMB Circular A–16 was completed and issued by OMB to all agencies. The Guidance provides definitions and clarity to selected elements of OMB Circular A–16 to help facilitate the adoption and implementation of a coordinated and effective Federal geospatial asset management capability. This management capability improves support of mission-critical business requirements of the Federal Government and its stakeholders. The Supplemental Guidance primarily focuses on geospatial data as capital assets and provides the foundation for a portfolio management approach to a National Geospatial Data Asset (NGDA) Portfolio comprised of NGDA Themes and their associated NGDA Datasets.

Portfolio Management Begins Implementation
A key tenant of the Circular A-16 Supplemental Guidance is having an understanding of the inventory of National Geospatial Data Asset (NGDA) datasets. The development of the current NGDA inventory affords NGDA Theme Leads the opportunity to review, validate, and evolve those data assets for which their organizations hold stewardship responsibilities. In order to effectively show how the NDGAs support the business requirements of the Federal Government and its partners, the data inventory needs to compare characteristics such as content, quality, application, validity, and definition in order to have a consistent process for determining the data that belongs in the inventory. This initial NGDA inventory activity identified a baseline portfolio in support of an emerging full portfolio management process.

The portfolio management implementation strategy serves as a guide for the actions needed to execute the requirements for the management of the portfolio of NGDA datasets. There is a phased approach for achieving full implementation and it includes continual improvements and annual reporting on progress. Each phase supports the outcomes identified in the OMB Circular A-16 Supplemental Guidance. The portfolio management process consists of six stages: inventory, selection, organization, management, evaluation, and monitoring. This process also includes the setting of Federal geospatial dataset priorities to ensure that NGDA Datasets are available to support the mission needs of the Federal Government and its partners, as determined by Federal agencies and their partners and as recommended to OMB.
Section VI: Highlights of Agency Accomplishments That Improve Citizen Engagement

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

CropScape – Linking Space and Agriculture
USDA’s National Agricultural Statistics Service (NASS) operates CropScape, a geospatial data service that significantly eases users’ access to agricultural geospatial satellite products. CropScape was built in cooperation with George Mason University using Open Geospatial Consortium (OGC) standards allowing for web mash-up capability with other geospatial sites.

By applying the best practices in science and technology, this service links space and agriculture. CropScape is constructed to disseminate, visualize, query, and analyze the Cropland Data Layer (CDL) accurately through standard geospatial Web services in a publicly accessible online environment. In addition, CropScape provides a plethora of tools, such as interactive data visualization, geospatial queries and even automated data delivery to services.

CropScape delivers data visualization tools directly into the hands of the agricultural community – without the need for specialized training, software or equipment. These resources can be used by researchers, policymakers and farmers alike to evaluate vital issues facing American agriculture, such as agricultural sustainability, land cover monitoring, biodiversity, weather disasters and more.

Since CropScape was launched in early January 2011, nearly 25,000 visitors have interacted with the site, including 85 countries and all 50 states. CropScape utilization of OGC Web Mapping Services (WMS) provides the capability of serving mash-up CDL images to other geospatial data portals for data queries, providing a method for automatic area of interest data delivery and on-demand crop statistics for uses in other applications. [http://nassgeodata.gmu.edu/CropScape/](http://nassgeodata.gmu.edu/CropScape/)
Department of Education

ED Data Express
Since its initial August 2010 launch, ED Data Express http://eddataexpress.ed.gov, has been serving the public by providing access to high-value education data in an easy-to-use, interactive format. This year, ED Data Express expanded the data visualization tools, enhanced documentation, and provided social networking options for users.

Version 2.0 of ED Data Express offers a new visual layout and provides the public with more dynamic tools to interact with the data such as: a mapping feature that allows users to view the data displayed on a map of the United States; a trend line tool, which displays a data element graphed across multiple school years; and a conditional analysis tool, which allows users to view one data element based on conditions set by another data element.

In addition, the site has improved documentation and added the ability to share information from the site using social networking tools.

The Department is committed to continually updating the data and enhancing the tools available to users. Version 3.0 of ED Data Express will include a redesigned State Snapshots section that is under development and is scheduled to launch this winter.

Department of Energy

Energy Scientific Research Data
Energy’s Office of Scientific and Technical Information (OSTI) is now registering publicly available scientific research datasets created by Energy-funded researchers through DataCite, an international consortium focused on improving access to research data. OSTI, within the Office of Science, became a member of DataCite in January 2011 to facilitate access to Energy research datasets. Through this membership, OSTI assigns Digital Object Identifiers (DOIs) to the individual datasets to aid in citation, discovery, and retrieval. This "DOIs for datasets" service helps enable achievement of Energy’s goal to provide open access to experimental data, as set forth in Energy’s 2011 Strategic Plan. In addition, creating stable pathways to these datasets makes the scientific process more accessible and the research more replicable for future discoveries. Once included in the Energy Citations Database (www.osti.gov/energycitations), these often hard-to-find datasets are subsequently searchable in Science Accelerator (www.scienceaccelerator.gov), Science.gov (www.science.gov), and WorldWideScience.org (www.worldwidescience.org) science portals, as well as other major search engines.

Department of Health and Human Services

The Open Government Initiative has created an unprecedented opportunity for the U.S. Department of Health and Human Services (HHS) to promote transparency, collaboration, and participation in causes important to its mission. Under President Obama’s leadership, HHS has taken extensive steps to advance open Government through more than 80 activities articulated in its Open Government Plan http://www.hhs.gov/open. Among the most important of these activities are its efforts to promote increased access to and innovation utilizing its data resources,
improved responses to Freedom of Information Act requests, and promotion of greater participation in its mission activities through new media applications.

HHS has helped advance America’s domestic open Government agenda and create a more efficient and effective Government through greater transparency, participation, and collaboration. HHS’ Health Data Initiative has made substantial progress improving public access to HHS’ vast data resources and helped to catalyze expanding use of these resources through an extensive campaign of public competitions, “code-a-thons,” and “meetups.” Over 250 major data resources can now be found at Health.Data.gov and freely accessed by anyone. This data is being harnessed by a rapidly growing array of innovators and entrepreneurs to create products and services that help consumers find the right care providers, doctors deliver better and safer care, employers promote health and wellness, mayors make better-informed decisions, and much more – while also helping to create jobs of the future in the process.

HHS is also proud to partner with the Department of Veterans Affairs and the Department of Defense to launch the “Blue Button” initiative, allowing Medicare beneficiaries, veterans, and military beneficiaries to download electronic copies of their own claims or personal health information for the first time. Over 400,000 veterans and beneficiaries have downloaded their own data using Blue Button.

HHS is also excited to have advanced the ability of consumers to take control of their own health care through HealthCare.gov, a new website that enables Americans to easily search for health insurance options that may be right for them, leveraging the most comprehensive inventory of private insurance plan and public health coverage program information ever assembled. HealthCare.gov invites continuous online feedback from users, helping the Department evolve the site in a way that best serves the needs of the public.

HHS’ Open Government strategy is about more than just making data available to the public. HHS will continue to improve the depth and quality of open data resources available on Health.Data.gov. In addition, in collaboration with a new public-private partnership, the Health Data Consortium, HHS will continue to actively support the growth of the open “ecosystem” of innovators and entrepreneurs who are utilizing HHS’ data.

**Department of Homeland Security**

The Department of Homeland Security (DHS) has been hosting open dialogues to receive comments and ideas from the public on cybersecurity and National Preparedness using the General Services Administration’s (GSA) online collaboration tool, providing an update of the Department’s social media tools, and providing additional datasets to data.gov.

The Department of Homeland Security and all Federal agencies are working to reduce their backlog of Freedom of Information Act requests. When the Administration took office in 2009, the FOIA Office faced significant challenges, including record backlogs and delayed response times. The Department took this seriously, hiring a highly respected Chief Privacy Officer to improve performance, which it has done successfully on every front:
Two years ago, the Department faced a backlog of more than 74,000 FOIA requests. Under this Administration, DHS has reduced the backlog by 84 percent, from 74,879 to 11,383 requests. In fiscal year 2010 alone, DHS reduced its backlog by 40 percent, eclipsing both the Government-wide Open Government Directive’s instruction to reduce the FOIA backlog by 10 percent each year, as well as DHS’s own Open Government Plan’s goal of a 15 percent reduction for the fiscal year. In the past two years, DHS also reduced the average time it takes to process FOIA requests in its system by 58 percent, from 225 days to 95 days. These substantial reductions occurred even though DHS received more FOIA requests than any other Federal department. In fiscal year 2010, DHS received 130,098 FOIA requests – 22 percent of all FOIAs received by the Federal Government – and processed 138,651 requests, also more than any other Federal department.

In addition to enhanced public participation opportunities, the Department has inventoried over 900 datasets of an estimated universe of 1200 and has developed a dataset candidate pipeline of over 70.

**Department of Housing and Urban Development**

**Launched the HUDdle**
The Department of Housing and Urban Development (HUD) launched the HUDdle, HUD’s new, interactive bi-lingual blog that replaced the previous blog on the home page of HUD.gov. “The HUDdle” enables readers - including HUD employees - to post comments and engage in a conversation with one another. The HUDdle was designed to enable HUD to interact with the public, its stakeholders, and its grantees like never before. Another big improvement of The HUDdle over the old HUD.gov blog is that it’s now much easier to share information. From regular bloggers, to guest bloggers, to video blogs, and special behind-the-scenes at HUD content – The HUDdle will be the go-to place for news, information, and dialogue about all of the great work HUD is doing in homes and communities nationwide.

**Department of Justice**

**FOIA Dashboard**
As its “flagship initiative,” the Department of Justice (Justice) pledged a new “FOIA Dashboard” to enable the public to track and measure FOIA compliance for all 97 agencies subject to the Freedom of Information Act (FOIA). Launched in March, 2011, the FOIA site, found at [http://www.foia.gov](http://www.foia.gov), serves as a comprehensive public resource for Government-wide FOIA compliance data. It displays graphically all the information contained in an agency’s annual FOIA report, including the numbers of FOIA requests made and processed by each agency, the disposition of those requests, the time taken to respond, and any backlogs of pending requests. Agency data can easily be compared and contrasted. Users can select the criteria they want to examine and then run custom reports. The Department also generates reports that would be of interest to the public and includes those on the site.

FOIA.Gov also has a significant educational component. There are videos embedded in the site that describe the FOIA and explain how it works. The site includes frequently asked questions and provides contact information for all agencies subject to the FOIA, making it easy to know where to send a FOIA request. There is also a newly-launched search function on FOIA.gov
which allows the public to enter a term and find all the records on that topic that are already available on agency websites.

**Department of Labor**

**Customer Service Modernization Program**
The Department of Labor (Labor) is working to position itself as a leader in customer service for the executive branch. To evaluate the state of Labor’s customer service efforts, address existing process gaps, and deliver a comprehensive strategy for improving service throughout the Department, Labor has developed the Customer Service Modernization Program (CSMP).

Labor has initiated the CSMP by identifying three agencies-the Wage and Hour Division, the Office of Safety and Health Administration, and the Office of Federal Contract Compliance Programs to participate in a pilot program. All three agencies are worker protection agencies and each receive complaints from employees and assist employers with regulatory compliance.

To implement the technological components of the CSMP, Labor is utilizing a modular development process. Frequent, continuous, and close collaboration between the project team and participating agencies will encourage ongoing process improvements, and performance evaluation. More importantly, the ability to review outcomes throughout the development process will allow the CSMP team to make small or large changes in strategy where necessary. Instead of waiting months or even years to discover a particular approach is ineffective, a modular approach will help Labor maintain flexibility, and correct problems and inefficiencies as they arise. The product will be a better customer service system sooner and at a lower cost.


**Department of State**

**The Open Government Partnership**
The Open Government Partnership formally launched in New York on September 20, 2011. The founding governments (Brazil, Indonesia, Mexico, Norway, Philippines, South Africa, United Kingdom, and United States) endorsed an Open Government Declaration, announced their country action plans, and welcomed the commitment of 38 governments to join the Partnership. The Department of State led the formation of the Open Government Partnership (OGP). These governments embrace a set of high-level open government principles, pledge country-specific commitments for putting the principles into practice, and invite civil society organizations to assess their individual and collective progress going forward.
The objectives of OGP are to:

- Strengthen and increase the visibility of new norms around openness, accountability, and participation in Government, with leadership from a diverse coalition of countries.
- Showcase the leadership of both developed and developing countries, highlighting innovations and creative best practices with broad appeal, and facilitate the creation of opportunities for countries to learn from one another and the non-governmental sector.
- Secure concrete commitments that will make participating governments more efficient, effective, and responsive and that signal their individual and collective embrace of open government, as well as making open government a forum for the exchange of innovative practices.
- Empower civil society as a critical partner in the effort to hold Government accountable and make Government more efficient, effective, and responsive to citizens.

The Core Elements of OGP are:

- **A Declaration.** A voluntary and non-binding declaration that expresses shared beliefs about the role of openness and citizen engagement in fostering accountability, promoting innovation and growth and improving performance. The declaration comprises high-level common commitments to changing the way that governments do business, while encouraging country-specific innovations to flourish.
- **Concrete Commitments.** To ensure that the OGP process drives action, the declaration will be coupled with concrete action plans from governments developed with public consultation and feedback at the national level. The eight founding OGP governments will develop their commitments that were announced simultaneously in September 2011 in an effort to foster the sharing of best practices and raise the level of commitment. A broader group of governments that demonstrate a basic commitment to open government will then follow a similar process over the next six months, announcing their own country-specific commitments in March 2012.
- **Ensuring Follow-through.** The final key element is a process for holding governments accountable for their commitments. OGP will establish an independent and open mechanism to assess implementation of all country commitments on an annual basis and encourage international and local civil society organizations to track and assess progress by participating governments.

Additional information can be found at:

- [http://www.opengovpartnership.org/](http://www.opengovpartnership.org/)
- [http://www.state.gov/g/ogp/](http://www.state.gov/g/ogp/)
**Department of the Interior**

**Climate Change**
The Department of the Interior’s (Interior) Open Government flagship initiative focuses on climate change. This initiative is focused on delivering improved access to climate change-related data and data derived products such as reports and models for researchers, managers, government and non-government partners, watch dog groups and the public at large. This initiative clearly demonstrates the value of open government and is closely tied to an Interior High Priority Performance Goal. Climate change is of great interest to Interior stakeholders. Individual bureau efforts on climate change information management are being coordinated in ways that were not previously possible. The identification of critical data sets that serve as key indicators for a wide variety of climate related impacts provides improved management capability and an enhanced understanding of the areas and impacts of climate change, not just on Federally-managed public lands, but also for state and privately held lands. Increased collaboration is being fostered by this initiative in improving the discovery of and access to climate change information. Beyond the ability to discover information, Interior’s climate change activities will provide new capability to aggregate information and improve consistency in analytical processing. Interior is collaborating with internal and external partners to enhance access to information and information-related products such as reports, plans and models. For more information on Interior’s commitment to climate change, go to: [http://www.doi.gov/whatwedo/climate/index.cfm](http://www.doi.gov/whatwedo/climate/index.cfm).

**Department of the Treasury**

**Helpwithmybank.gov**
The Department of the Treasury (Treasury) also implemented enhanced methods to capture citizen feedback through an internet site which reinforces the importance of fair and honest treatment for bank customers. The site, [www.helpwithmybank.gov](http://www.helpwithmybank.gov), is designed to provide answers and solutions for customers of national banks and covers topics such as credit cards, checking accounts, overdraft fees, mortgages and credit reports.

Additionally, the site also advises consumers on how to file a complaint if they are not satisfied with a resolution from a national bank. The Office of the Comptroller of the Currency (OCC) created the On Line Customer Complaint (OLCC) application, [https://appsec.helpwithmybank.gov/olcc_form/](https://appsec.helpwithmybank.gov/olcc_form/), providing consumers with the option to submit a complaint via the Internet. Prior to the launch of the OLCC, complaints could only be submitted using US mail, fax and email.

**Department of Veterans Affairs**

**Post-Traumatic Stress Disorder (PTSD) Coach Mobile Application**
The PTSD Coach is primarily designed to enhance services for individuals who are already receiving mental health care, though it is certainly helpful for those considering entering mental health care and those who just want to learn more about PTSD.
PTSD Coach enables users to track their PTSD symptoms, links them with local sources of support, provides accurate information about PTSD, and teaches individualized strategies for managing PTSD symptoms at any moment.

The application is one in a series of jointly designed resources from the Department of Veterans Affairs’ (VA) National Center for PTSD and the Department of Defense’s National Center for Telehealth and Technology. The PTSD Coach was designed to help Service members, Veterans, and their families help manage readjustment challenges, while getting anonymous assistance.

The PTSD Coach enables users to track their PTSD symptoms, links them with public and personalized sources of support, provides accurate information about PTSD, and teaches helpful strategies for managing PTSD symptoms on the go.

Since its launch, the PTSD Coach (mobile device applications) have been downloaded by more than 28,000 users in 54 countries. More than 26,000 of these downloads were in the United States. The PTSD Coach application serves the needs of Veterans and their families, all over the world.

**Environmental Protection Agency**

**Apps for the Environment Challenge**

This challenge was extremely successful in promoting the innovative use of the Environmental Protection Agency’s (EPA) data by third parties. EPA received 362 followers for the Apps for the Environment Challenge. The Apps for Environment challenge addressed several OpenGov data related objectives including creating opportunities for data owners/subject matter experts to provide insight regarding their data to developers and interested parties, creating a forum for the public to suggest data or applications of interest, fostering a community of developers to discuss ideas and pose technical questions, and providing incentives for interested parties to create useful applications. See related information at: [http://www.epa.gov/appsfortheenvironment/](http://www.epa.gov/appsfortheenvironment/).

**General Services Administration**

**The General Services Administration (GSA) Builds the Road to Social media Success**

GSA officially encourages the use of social media to enhance communication, collaboration, and information exchange in support of GSA’s mission. In 2011, GSA released a Guide to Official Use of Social Media (The Social Media Navigator) and updated an online course including a mandatory ethics course to educate GSA employees on their responsibilities regarding the use of social media. Since its publication in May, the Social Media Navigator has been downloaded 506 times from GSA’s public and internal sites--an average of almost 100 downloads per month. The GSA Social Media Awareness Training has had 618 completions and the 2011 Annual Ethics Training - Ethics and Social Media has had 4,041 completions. In addition, GSA has received requests from other government entities to use the Navigator, most recently from state of Kansas. An interagency Social Media Task Force, co-led by the Office of the Chief Information Officer and the Office of Communications and Marketing, promotes the informed use of social media to encourage dialog, engaging GSA’s customers and the public in meaningful two-way conversations—an innovative way to support customers. GSA effectively uses a number of social media sites. The dashboard assists in ensuring that GSA leadership has
visibility into all public messaging via social media applications, creating a collaborative synergy and enhancing the effectiveness of all social media outreach. GSA’s policies and best practices are publicly available at www.gsa.gov/socialmedia, and all, including the public, are welcome to contact socialmedia@gsa.gov with questions.

**National Aeronautics and Space Administration**

**Community and Collaboration through Challenge Platforms**

A main focus of the Open Government Initiative is to offer Americans numerous opportunities to participate in National Aeronautics and Space Administration’s (NASA) space exploration mission. Innovation platforms give NASA an opportunity to engage citizen explorers to help NASA solve its toughest challenges. A recent success story is the Centennial Challenge program, which awarded the largest prize in aviation history for the development of more fuel-efficient aircraft and sparked a new electric airplane industry and can be found at: http://www.nasa.gov/home/hqnews/2011/oct/HQ_11-334_GFC_Winners.html.

NASA also continues to use online innovation platforms such as InnoCentive.com https://www.innocentive.com/pavilion/NASA, and topcoder.com http://www.nasa.gov/directorates/heo/ntl/index.html, to engage the world’s brightest minds to help solve tough problems for cash awards. This year, NASA launched an internal agency-wide challenge platform that is used to identify solutions to internally posted challenges by internal personnel and expertise.

In addition to all the online collaboration platforms, NASA is also looking at ways to bring communities of innovators together, in person, to solve problems. NASA is a co-host of Random Hacks of Kindness (RHoK) http://www.slideshare.net/opengovpartnership/random-hacks-of-kindness-9309782, a unique collaboration dedicated to using technology to make the world a better place. Two events are hosted each year and bring together more than 1,500 software developers, students, and disaster experts from 20+ global locations for a weekend-long “hackathon” to collaborate on solving some of the biggest real-world disaster relief challenges facing humanity.

**National Science Foundation**

**Social Media**

The National Science Foundation (NSF) is leveraging multiple social media tools to enhance public participation in its work and communicate the significance of science and engineering in the public’s daily lives. To create a “hands-on,” media-rich learning experience for the public, NSF built a mobile app based on NSF’s “Science360.gov: The Knowledge Network” multimedia Web portal http://science360.gov/, that spotlights research and engineering advances around the globe. The app is rich with video and interactive content that illustrates the science behind things in everyday life, such as climate change, football, and computing. Content is either produced by NSF and its partners or gathered from scientists and research institutions. Overall, the app facilitates greater public participation in NSF’s work by allowing tablet users to share and comment on NSF news via email and social media sites.
Nuclear Regulatory Commission

Social Media Opens New Communications Opportunities
In 2011, NRC has enhanced relationships with stakeholders by promoting a sense of community though social networking technologies. NRC implemented the use of a new public blog and other social media sites to offer even more ways to interact with and inform the public and raise awareness about the agency and its mission.

NRC’s blog debuted on January 31, 2011, with a welcome message from NRC Chairman Gregory Jaczko. In addition to access via the Web, the blog is available using mobile devices (such as smartphones). Since its establishment, the blog has had more than 130,000 views and has proven especially useful in enabling quick public communications during and after the events at the nuclear facilities in Fukushima, Japan, and during U.S. events this year:

- On average, the blog has just under 500 views per day; immediately after the event at Fukushima, views peaked at just over 5,700 in one day.
- During the week of August 22, 2011, blog posts provided information on earthquake response and hurricane preparation at nuclear power plants.
- Daily views of the blog peaked at more than 1,000 during the Missouri River flooding event.

Social Security Administration

Online Citizen Participation and Collaboration
For FY11, the Social Security Administration (SSA) has engaged the public in several important activities, in December 2010, Social Security held two online collaboration and participation forums to solicit ideas for the updated Agency’s Strategic Plan. One forum addressed employees and the other the public. In March 2011, SSA hosted a webinar aimed at college-aged and young workers entitled, “Social Security 101: What’s in it for me?” The webinar featured a live question and answer session with questions submitted by the public before and during the webinar and through various means, including the webinar site, and social media sites.

In June 2011, Social Security participated in a 508 Listening Session hosted by the CIO Council Accessibility Committee to collect ideas on improving accessibility technologies. In August and September 2011, SSA held public forums on Accessibility for people with disabilities. The purpose of these forums was to gather the public’s input on SSA’s accessibility policies and practices related to Section 504. SSA live streamed the forums for those who could not attend in person. Several times throughout the year, Social Security held Compassionate Allowance (CAL) Outreach hearings to engage the public about potential additions to the agency listing of CAL medical conditions.

Through social media channels and SSA’s own Open Government portal site (http://www.socialsecurity.gov/open), the agency notified, encouraged, and directed citizens to each activity. Depending on the forum, the method of participating varied but included providing comments on social media sites, commenting on Regulations.gov, commenting on designated web pages, and participating in the event either in person, on the phone, or online.
More USAID Tools and Data Sets Publicly Available on Data.gov

The United States Agency for International Development (USAID) recognizes that high-value information, published online in open formats can be very valuable to staff and partners alike. USAID’s Chief Information Officer is responsible for populating Data.gov with high-value, authoritative data that explains and supports the Agency’s core development mission. USAID's Greenbook, the authoritative data set of U.S. foreign assistance, continues to rank among the most downloaded data sets on the site, with almost 53,000 downloads to date. New high value USAID data sets and tools added to data.gov this year include:

**Famine Early Warning System Network (FEWS NET):** A USAID-funded food security and famine early warning system covering more than 30 of the most food insecure countries in the world [http://explore.data.gov/Geography-and-Environment/Famine-Early-Warning-System-Network-FEWS-NET/64ru-eene](http://explore.data.gov/Geography-and-Environment/Famine-Early-Warning-System-Network-FEWS-NET/64ru-eene).


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 FY11 to remain in compliance.

**Department of Agriculture**

**Information Technology Strategic Plan and Enterprise Architecture Transition Plan**


This plan serves as a framework for the communication and planning which facilitates the partnerships between the Department of Agriculture (USDA) IT and business communities. It also promotes effective decision-making and dissemination of information to the public.


In FY10, USDA created an 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.

**Information Dissemination Management to the Public**

The USDA Electronic Freedom of Information Act (FOIA) Reading Room is the product of collaboration between the USDA FOIA Service Center, the Office of the Executive Secretariat (OES), Washington Communications and Technology Services (WCTS) and USDA’s component agencies. In FY11, a new emphasis was placed on proactive disclosure of frequently-requested materials and data sets; this is expected to continue and be expanded in FY12. As part of this expansion, the USDA FOIA Service Center and the USDA E-Government Portfolio Director are collaborating on efforts to establish a process for determining public dissemination of E-Government Initiative/Line of Business information.

Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to agency information by the public: [http://w3.usda.gov/comments/contentinventory.html](http://w3.usda.gov/comments/contentinventory.html).

As a further means to improve the dissemination of and access to information, USDA integrated a search appliance into its enterprise Internet infrastructure, thus permitting searches of all files intended for public use on the website. This mechanism also conveniently displays prioritized search results in order of relevancy. Response times, in accordance with industry best practices, are included with the results.

**Freedom of Information Act (FOIA) Compliance**

This guide provides an overview of the provisions of FOIA which govern Federal agencies' responsibilities and the public's rights. It also outlines how and where inquiring parties should make a FOIA request, required response times, the conditions for expedited processing, fees and fee waivers, initial request determination, appeals for restricted access, and information regarding judicial review.


Frequent requests for records are made available to the public at: http://www.dm.usda.gov/foia_reading_room.htm.

The USDA Electronic FOIA Reading Room contains the following library stacks: (1) USDA Policy Manuals, Regulations, Notices and Memoranda; (2) Instructions Affecting the Public; (3) Responses to Frequently-Submitted FOIA Requests; (4) Final Adjudicatory Opinions; (5) Agency Annual FOIA Reports as submitted to the Department of Justice; and (6) Individual Electronic FOIA Reading Rooms for nine USDA agencies. Within the reading room, members of the public can also access the USDA annual reports from 1996 to the present and they may view contracts and purchase orders established between USDA and the private sector.

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

Public websites disseminating research and development (R&D) information to the public, describing for each whether the website provides the public information about Federally funded R&D activities and/or provides the results of Federal research: http://www.usda.gov/wps/portal/usda/usdahome?navtype=SU&navid=RESEARCH_SCIENCE.

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 USDA's site 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 Service (ARS), Economic Research Service (ERS), Forest Service (FS), Food and Nutrition Service (FNS), National Agricultural Statistics Services (NASS), and National Agricultural Library (NAL) are particularly noteworthy examples of agencies within USDA that have made access to research and development information accessible to the public and employees. Each of these agencies maintains its own specialized, searchable web site for research.

**Dissemination of Formal Agency Agreements with External Entities to the Public**

Inventory of formal agency agreements with external entities: 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.

The National Agricultural Library (NAL) expands public access to agricultural information and facilitates the successful development of the Library’s programs and services through partnerships with external libraries, organizations, and private industry. For a list of NAL’s partnerships, please visit National Agricultural Library Partnerships. Additionally, the National Institute of Food and Agriculture (NIFA) partners with more than one-hundred colleges and
universities that comprise the nation's Land Grant University System. These universities are designated to receive unique Federal support in order to further pursue NIFA’s unique mission to advance knowledge for agriculture, the environment, human health and well-being, and communities. Information on the Land-Grant University System and NIFA’s partnerships is available at: http://www.csrees.usda.gov/qlinks/partners/state_partners.html.

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


The Office of the Chief Information Officer manages USDA’s Records Management Program, for which NARA outlines the major responsibilities that Federal agencies currently have for preserving electronic records. The USDA has well-established processes and procedures to ensure the proper management, scheduling, and disposition of USDA records.

**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 462 USDA Web applications. In FY11, USDA processed more than three million authentications each month for employees, contractors and customers.

Another example of how USDA is implementing use of electronic signatures is the Ethics E-Filing Use of Electronic Signatures. In 2011, the USDA Departmental Management Office of Ethics (OE) implemented an Ethics Forms Automation (EFA) system to allow for the e-filing of Public (OGE-278) Financial Disclosure Reports for USDA 700 OGE-278 Report filers. The Office of Ethics 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 278- “Annual Public Financial Disclosure Report.”

**Electronic Means of Enhancing Public Participation in Government**

USDA’s use of the Regulations.gov website and the complementary 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 fourteen rule-making agencies completed migration to the 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 FY11, USDA agencies posted fewer rules, proposed rules, and notice documents -- 1,096 in all. But at the same time, USDA received a whopping 122,480 comments from the public in response. That is a 12-fold spike in public access since the portal’s launch in
FY07. 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 Office of the Chief Information Office (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 OCIO ensures that key IT investment stakeholder and partner interests are included at every step of the IT life-cycle 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 ($1.8B) in each of FY11 and FY12 (Est.), two-thirds ($1.2B) is under departmental oversight as major investments. These major investments include more than 333 individual Performance Measurement Areas; nearly half of which (152 measures) were focused on Mission and Business Results (75 measures) and Customer Results (77 measures). Of the Customer Results measures: Customer Benefits were clearly the main focus with 30 percent representation; Timeliness/Responsiveness was also highly represented at 25 percent of measures; Service Quality appeared as slightly more than 18 percent of measures; and both Service Coverage and Service Accessibility were each listed 13 percent of the time.

Several specific examples of recent stakeholder and customer performance measurement results include:

<table>
<thead>
<tr>
<th>Metric Description</th>
<th>Unit of Measure</th>
<th>Baseline</th>
<th>Target for FY11</th>
<th>Actual for FY11</th>
<th>Target for FY12</th>
<th>Reporting Frequency</th>
<th>Most Recent Actual Results</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Complaints</td>
<td>number of calls answered within two minutes</td>
<td>120</td>
<td>120</td>
<td>114</td>
<td>120</td>
<td>Monthly</td>
<td>114</td>
</tr>
<tr>
<td>% of change requests are handled in compliance with agency policy and processed within 24 hours of receipt</td>
<td>percent</td>
<td>85</td>
<td>85</td>
<td>88</td>
<td>85</td>
<td>Monthly</td>
<td>87</td>
</tr>
</tbody>
</table>
### Reducing Errors through Electronic Submissions

*Grants.gov:* The Grants.gov APPLY function has helped reduce errors in grant applications submitted online through the site. USDA agencies attach an application package with their grants announcement informing potential applicants of the forms that are required to be submitted with their application. Applicants access grant application forms on Grants.gov, download and complete them offline, then upload the finished products in the Grants.gov system for submission. Grants.gov helps reduce errors by performing data validation, based on information in the agencies’ application packages, 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 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, enter or modify Federal and State tax information, create and/or update Direct Deposit, TSP, residence address, and financial allotment information, via the internet.

### 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. 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. Finally, USDA establishes compliance requirements and provides guidance and communication related to the initiative in the form of departmental issuances, e.g. memos, emails, policy directives.

In addition, there also exists a Section 508 Departmental Lead located within the OCIO. This Lead helps maintain communication with the General Services Administration (GSA), who oversees the Government-wide 508 program, and the Access Board, who implements Section 508 technical regulations. The Departmental Lead also works with the USDA 508 Coordinators to maintain 508 websites, explore the implementation of new Section 508 technologies, maintain the Section 508 Coordinators collaboration tool site, facilitate Section 508 training opportunities, and resolve any Section 508 issues that may arise within the department

Quantifying Cost Savings Achieved through Implementation of IT Programs

Enterprise Data Center Consolidation: In FY11, the Enterprise Data Center (EDC) effort focused on migration and closure of agency computer rooms/data centers physically located in metropolitan Washington, DC. Throughout FY11, nine consolidations were completed or substantial progress was made.

For the period FY11 through FY15, cost savings achieved through the Department’s Data Center Consolidation Initiative are estimated to be $205M.

E-Training: In FY11, the AgLearn program measured an estimated cost avoidance of about $27M. Considering that the AgLearn budget was only about $5M, this represents an overall USDA return on investment of approximately 540 percent. As an example of cost savings, the number of AgLearn Webinar attendees has jumped from 3,200 in FY10 to a preliminary estimate of more than 15,000 in FY11. Webinars reduce travel costs and operational inefficiencies; they can be recorded for later re-use, and they leverage current USDA IT assets and capabilities.

E-Payroll: The NFC currently calculates payroll for over 650,000 Federal employees. Since 2006, the average number of Federal employees paid each pay period increased by 93,817, without any significant increase in the IT infrastructure. Additionally, rate increases charged to customers have consistently been kept below the current inflation rate. In 2006, NFC’s average rate for payroll services was $136.20. Using an average 3 percent inflation rate, the 2012 average rate would approximate to $160.74. NFC’s projected 2012 average rate is $141.99 -- a realized savings of $18.75 per Federal employee paid.

Department of Commerce

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

Information Resources Management (IRM) Strategic Plan:
http://ocio.os.doc.gov/s/groups/public/@doc/@os/@ocio/@oitpp/documents/content/prod01_008860.pdf.

Enterprise Architecture (EA) Plan:
Information Dissemination Management to the Public
Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to agency information by the public:

Freedom of Information Act (FOIA) Compliance


Frequent requests for records are made available to the public at:

Dissemination of Federal Research and Development (R&D) Funding to the Public
Public websites disseminating research and development (R&D) information to the public, describing for each whether the website provides the public information about Federally funded R&D activities and/or provides the results of Federal research:

Dissemination of Formal Agency Agreements with External Entities to the Public
Inventory describing formal agency agreements (e.g., contracts, memorandum of understanding) with external entities (e.g., partnerships with State and local governments, public libraries, industry and commercial search engines): http://ocio.os.doc.gov/ITPolicyandPrograms/E-Government/PROD01_003960.

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

In response to NARA Bulletin 2006-02. The Department of Commerce (Commerce) reported to the Office of Management and Budget (OMB) that there are a total of 326 Commerce e-record systems, of which 245 (or 75 percent) have been scheduled. An additional 48 schedules (15 percent) were submitted to NARA in FY11 or previously and are pending review and approval. 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-record systems to 33 (10 percent).

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 National Institute of Standards and Technology’s (NIST) e-Approval system will utilize an end-user’s Personal Identity Verification (PIV) for login authentication and for digitally signing electronic forms. The e-Approval system provides NIST staff with the means to electronically process administrative forms via Web browser, complete and digitally sign the forms, and then route the forms electronically for further processing. There is currently one software component in the e-Approval system, BizFlow, which designs and creates electronic versions of existing paper forms. It also creates workflow routes that are used to automate the manual routing process.

The U.S. Patent and Trademark Office (USPTO) uses PKI for patent application submissions (EFS Web) and for trademark applications (TEAS). The 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.

USPTO as well as the Office of the Chief Information Officer digitally signs Federal Register Notices for Information Collection Requests required under the Paperwork Reduction Act. This allows for electronic submission to the Federal Register, reducing by three working days the time from submission to publication and allows more rapid processing of the Notice.

**Electronic Means of Enhancing Public Participation in Government**

The Commerce 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. IT performance measures support the Commerce Management Goals.

Commerce uses IT to deliver information and services to stakeholders and to ensure that performance goals are met in many ways. Following are examples from NIST, the National Oceanic and Atmospheric Administration’s (NOAA) Line Offices, and the Bureau of Economic Analysis (BEA).

In keeping with its mission to enable innovation and help U.S. industry improve its competitiveness, NIST continues to use IT to provide a wide range of communications and outreach services for its external stakeholders. NIST’s outreach focuses on translating research results into lay language and sharing it with the public to ensure the widest possible dissemination and impact. Over the past year, NIST has accomplished a 115 percent increase in subscribers to its e-mail alerts through GovDelivery. These alerts allow more than 56,000 subscribers to request e-mail alerts on 149 news topics and to specify the frequency of updates—daily, weekly, etc. NIST is also utilizing IT to collect additional customer satisfaction and customer information requirements relevant to the measurement and calibration services that it delivers. This information is being used to strengthen and improve NIST customer service and related performance measures in these areas.

NIST social media efforts have also matured and expanded. A Flickr site has been established to provide easy access to public domain and other NIST images. Many of the almost 900 images
(with a total of more than 1,300 views) posted on Flickr so far have links back to articles describing research results on the NIST website.

To tie these Internet offerings to measureable performance improvements, NIST subscribes to a Government-wide customer survey for its external website. The American Customer Satisfaction Index is used by both commercial and Government websites to chart their progress in meeting customer needs. It also provides recommendations on ways to improve search engine results and enhance navigation on the NIST external site.

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

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) established the National Permits System (NPS) to accept and maintain all permit applications and related data. All regional and other program permits systems are housed within this system, which 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 US Postal Service for address validation; the Social Security Administration to ensure applicants are still living and eligible to receive permits; the US Coast Guard to verify vessel documentation numbers; and the NMFS Office of Law Enforcement to verify that equipment is installed and operational on those vessels where it is required by law.

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 at: https://seafoodinspection.nmfs.noaa.gov/customer/customerlogin.html. An application for SIP generates European Health Certificates and Illegal, Unregulated, and Unreported Catch Certificates estimated to save the U.S. seafood industry approximately 15 minutes per certificate, which translates into 6,250 hours and almost $500,000.

The 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. The eFile system 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.
BEA uses an online Customer Satisfaction Survey to determine the usefulness, comprehensiveness, and accessibility of all of BEA’s online data products. As a result of customer feedback, BEA launched a new interactive website that makes it easier for customers to access, analyze, present, and save BEA data.

**Reducing Errors through Electronic Submissions**

The Technology Innovation Program (TIP) at NIST utilizes electronic submission for several data gathering purposes: Proposal Intake, Confidentiality agreements, Technical and Impact Reviews, and Mailing list information. Electronic submission significantly reduces errors by eliminating the need for TIP staff to manually enter the data into NIST’s electronic systems. NIST has designed data collection forms which produce an xml-formatted data stream that is imported into NIST databases exactly as the person submitting the data entered it. The Conflict of Interest and Confidentiality form which must be completed by everyone in TIP, along with anyone having access to proposal data, is submitted electronically with pertinent data extracted from the form and entered into the database. Electronic submission saves time and prevents errors in recording addresses, which could hamper delivery of proposals to potential reviewers.

The NIST Office Weights and Measures (OWM) Contact Management System (CMS) was brought online in FY10 and continues to be updated to increase its usefulness and time saving options. This system allows OWM to replace the manual work previously done to maintain an MS Access database of over 16,000 contacts that interact with OWM. Through use of the CMS system these contacts are able to update their contact information and request training, documents, and materials from NIST. Conversely, OWM is able to quickly and efficiently inform their contacts of Webinars and process Webinar registrations promptly.

BEA developed an electronic data collection system for a joint National Institute of Health (NIH)/BEA survey that collects data in support of 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 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 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 the applicant 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 increase the speed patents are granted and trademarks issued, decrease errors, and improve communication.
**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. 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**

Examples of cost savings and cost avoidance achieved through implementation of IT programs follow:

NOAA introduced NOAALink, a strategic sourcing vehicle for acquiring IT products and services, to improve IT acquisition practices across NOAA. NOAALink aims to establish enterprise-wide solutions, standardize common IT products and services, and leverage purchasing power. The NOAALink team strives to recognize the most significant cost advantages possible by closely assessing each and every requirement, including time constraints, infrastructure applicability, and the likelihood of enterprise consolidation. Through consolidation of requirements, NOAA met its FY11 targets to reduce by 3 percent the total number of contracts awarded and achieve acquisition savings of 14 percent. NOAALink is now available to Commerce operating units outside NOAA.

NOAA’s National Ocean Service (NOS) continues to consolidate purchasing to gain economies of scale and reduction in costs, including expanding the list of common software and hardware for consolidated purchasing to include: Adobe Acrobat, ESRI, NetApp storage, OpenLM, Printers, Roxio, SAS, Cisco SmartNet, and desktop / laptop refresh. These efforts have resulted in cost savings of over $600,000.

**Department of Defense**

**Information Technology Strategic Plan and Enterprise Architecture Transition Plan**


Information Dissemination Management to the Public

The Department is an active participant in the following six E-Gov Lines of Business (LoB), Budget Formulation and Execution LoB, Federal Health Architecture LoB, Financial Management LoB, Geospatial LoB, Grants Management LoB, and the Human Resources Management LoB. The specific monetary contributions to and the benefits realized by the Department through the use of these LoBs are highlighted in the FY11 Report to Congress on the Benefits of the President's E-Government Initiatives: (http://www.whitehouse.gov/sites/default/files/omb/assets/egov_docs/FY11_EGov_Benefits_Report_v2.pdf):

Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access of information by the public: http://www.defense.gov.

Defense.gov is the Department's premier public information site for the dissemination of all current information on DOD. This website includes URLs to DOD information dissemination product catalogs, directories, inventories, and other management tools.

Freedom of Information Act (FOIA) Compliance


Frequent requests for records are made available to the public at: http://www.dod.mil/pubs/foi/rdroom.html. Location of documents that are frequently requested by the public under the FOIA from the Office of the Secretary of Defense/Joint Staff.

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

Link to DOD’s Comptroller's website: http://comptroller.defense.gov/.

The Director, Defense Research & Engineering (DDR&E) works closely with DOD’s Comptroller to ensure that consistent and 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. DOD also provides information at the transaction level on all grants to the Office of Management and Budget’s (OMB) USAspending.gov website, established under the Federal Funding Accountability and Transparency Act (FFATA). In addition to the Comptroller-verified data on all Research, Development, Test and Evaluation programs, this information includes a record for each obligating action with an OMB-specified set of elements (called the Federal Assistance Awards Data System (FAADS) Plus), because it adds specific data elements required by the FFATA to a larger set of data elements and can also be found online through FAADS at: www.census.gov/govs/www/faadsmain.html.
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 Homeland Security Presidential Directive-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.

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

Army:

- Approx. 27 percent compliance
- Army Breakdown Total: 1,772 (1,216 do not create records)
- Systems that create records: 556
- Scheduled/approved with NARA: 145. Remaining: 411

Air Force:

- Approx. 41 percent compliance
- Systems that create records: 364
- Scheduled: 151
- Remaining: 213

Navy:

- Approx. 95 percent compliance
- Navy Breakdown (Marine Corps numbers included): Total: 1,390 (864 do not create any records)
- Systems that create records: 526
- Scheduled/approved with NARA: 493
- Remaining: 33
Implementation of Electronic Signatures for Interoperability
DODI 8520.02, Public Key Infrastructure (PKI) and Public Key (PK) Enabling dated May 24, 2011, updates 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 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.

DOD has enabled the workforce with the capability to digitally sign. The Common Access Card (CAC) is DOD’s identification card issued to employees. This smartcard platform contains a digital signing PKI certificate unique to each individual.

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, the Department 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 the Department of Defense.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations
DOD High-Priority Performance Goals can be found at: http://www.Performance.gov.

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. DOD’s IE Strategic Plan was collaboratively developed with key stakeholders to form the Department’s approach to achieving DOD’s Information Enterprise. Over time, DOD’s IE Strategic Plan and associated Roadmap (collectively known as DOD’s IE SP&R) will deliver DOD’s 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.

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. Digitally signing submissions, whether from an individual or non-person entity is made possible through the use of PKI certificates. Digitally signing data submissions provides efficiency, data integrity and non-repudiation.

**Efforts to Comply with Section 508 Regarding Information Management**

* **DOD Section 508 Manual:** On June 3, 2011, DOD’s CIO signed DOD’s Section 508 Policy Manual 8400.01-M: Procedures for Ensuring the Accessibility of Electronic and Information Technology (E&IT) Procured by DOD Organizations. This document implements the policy in DOD Directive 8000.01, assigns responsibilities for 508 management, and provides procedures for the implementation of Section 508.

* **Increase Education and Training:** DOD in collaboration with the Federal Acquisition Institute and other Federal agencies has begun efforts to ensure that DOD on-line courses are accessible to individuals with disabilities. In June 2011, DOD completed its first on-line course review initiative in collaboration with the Department of Homeland Security, the Federal Acquisition Institute, and the Defense Acquisition University (DAU) to identify, update/revise, and maintain accessible DAU on-line courses.

* **DOD Quarterly Public Website Reviews:** In an effort to improve accessibility of DOD public information, DOD has quarterly reviews of DOD public websites for accessibility. Using “website accessibility testing tools,” the Office of DOD’s CIO has tested 47 DOD Public websites focusing on the 16 accessibility standards.

* **GSA Reviews DOD E&IT Solicitations:** DOD in collaboration with GSA has established an aggressive “accessible solicitation development program” designed to ensure that IT solicitations include the appropriate Section 508 language in accordance with the U.S. Access Board standards and the FAR.

* **Section 508 Coordinators Meeting:** The Office of the CIO conducts quarterly meeting for all DOD Section 508 Coordinators. These meetings provide updates on DOD and Federal-wide Section 508 actions and activities; identifies Defense-wide training opportunities on 508; reviews industry best practices; and addresses 508 issues impacting the Department.

**Quantifying Cost Savings Achieved through Implementation of IT Programs**

The Department is engaged in ongoing IT management and acquisition reform efforts that will result in DOD-wide cost savings and avoidances. For example, the Department’s data center closure/consolidation initiatives will result in efficiencies and cost avoidances through reduced data center operations costs and energy usage. Additionally, the Department’s use of electronic communications, such as digital signatures and online forms, has reduced the information collection burden placed on the public.

**Department of Education**

* **Information Technology Strategic Plan and Enterprise Architecture Transition Plan**

Information Resources Management (IRM) Strategic Plan: [http://www.ed.gov/about/reports/annual/ocio/irmstratplan.doc](http://www.ed.gov/about/reports/annual/ocio/irmstratplan.doc)

Information Dissemination Management to the Public

Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to agency information by the public: http://www.ed.gov/. The Department is committed to providing its full range of information to the public. A primary vehicle for doing so is the Department's main website, ED.gov. The Department offers a one-stop system for ordering its publications http://edpubs.ed.gov/, RSS feeds http://www.ed.gov/news, and a new e-newsletter management system, GovDelivery, which allows citizens to subscribe to Department of Education (ED) newsletters on more than 20 topics. The Department also uses social media sites to help communicate the Secretary's message and priorities. A complete list of the agency's social media pages, feeds, and channels is at: http://www.ed.gov/about/overview/focus/social-media.html.

Freedom of Information Act (FOIA) Compliance
FOIA handbook: The Department provides a link from its primary FOIA website to the Department of Justice FOIA Guide: http://www.ed.gov/policy/gen/leg/foia/foiatoc.html. The Department 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.


Frequent requests for records are made available to the public at: http://www.ed.gov/policy/gen/leg/foia/readingroom_2.html.

Dissemination of Federal Research (R&D) Development Funding to the Public
Public websites disseminating research and development (R&D) information to the public: http://ies.ed.gov/. The main ED organization that supports ED research and statistics is the Institute of Education Sciences: (http://ies.ed.gov/).

Dissemination of Formal Agency Agreements with External Entities to the Public
Inventory of formal agency agreements with external entities: :

- http://eric.ed.gov/
- http://www.college.gov/
- https://answers.ed.gov/
- http://www.teach.gov/
The Department has contracted for the following to complement its information dissemination program:

- EDPubs and FSAPubs;
- the Education Resources Information Center (ERIC) for free access to bibliographic records of journal articles and other materials;
- the What Works Clearinghouse for scientific evidence of what works in education;
- Doing What Works for effective teaching practices and ways to implement them;
- College.gov for information about planning, preparing and paying for college;
- Frequently Asked Questions; and
- Teach.gov, which aims to increase the number, quality, and diversity of people seeking to become teachers.

The Department has the following cooperative agreements:

- Federal Resources for Educational Excellence (FREE) for teaching and learning resources and
- Opportunity.gov, highlighting education and training opportunities for unemployed Americans.

National Archives and Records Administration (NARA) - Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02
NARA-approved records schedules: [http://www.ed.gov/about/offices/list/om/recordsmgmt.html](http://www.ed.gov/about/offices/list/om/recordsmgmt.html).

Of the 107 electronic information systems containing Federal records, all are covered by a NARA-approved or NARA-submitted records retention schedule. Schedules for 26 new systems identified in FY11 will be completed in FY12.

Implementation of Electronic Signatures for Interoperability
The Department has an ongoing Email Encryption/Digital Signatures Project that will enable users to encrypt email that contains sensitive information prior to sending. This project will also allow users to attach a digital signature to an email prior to sending. As part of the project, the Department has created a key management infrastructure that will enable the Office of Inspector General and Office for Civil Rights to decrypt encrypted emails to meet investigative requirements and to support legal and Freedom of Information Act requests in a timely manner. This project is scheduled to be completed by March 30, 2012.

Electronic Means of Enhancing Public Participation in Government
The Department 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. The Department participates in Regulations.gov, an electronic, single, Government-wide access point that enables the public to submit comments on Federal regulatory documents and to read and respond to comments from other members of the public during the comment period. The Department accepts public comments on all of its proposed and interim
final regulations, as well as a limited number of other regulatory documents, through Regulations.gov.

In addition to using Regulations.gov, the Department has sought to use blogs to obtain input from the public on regulatory documents. Notably, in 2011, the Department invited public participation as it developed an approach to the Race to the Top–Early Learning Challenge competition (RTT-ELC). Although the Department was waiving notice-and-comment rulemaking in establishing the priorities and requirements for this competition, ED invited the public to provide general input on the ED.gov blog. In response to this invitation, ED received 199 responses, which were considered in its development of the RTT-ELC grant competition notice. ED subsequently posted on the Department’s website, a draft Executive Summary of the competition and invited public input on draft competition priorities, requirements, definitions, and selection criteria. Through the Department’s website, members of the public could submit comments directly on one or more of the key competition elements. ED received 349 responses, which were also considered in developing the final competition notice.

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

Department-wide annual plans and performance reports, http://www.ed.gov/about/reports/annual/index.html, describe the goals and intended outcomes of agency programs and initiatives. Annual strategies are published in performance plans in advance of each fiscal year, and results are reported in annual performance and accountability reports following the fiscal year end. In FY11, the Department implemented several new strategies to facilitate transparency and improve stakeholder collaboration through improved use of technology. Specifically, the Department made significant progress in expanding access to education-related data, so that analysis of reports on education data can be done outside of the walls of the Department. This includes working to present data in formats that are easily accessed by the general public. These new tools allow users to track their state and the nation’s progress on key indicators for early learning, elementary and secondary, and postsecondary education on the U.S. Education Dashboard http://dashboard.ed.gov and at Ed Data Express http://www.eddataexpress.ed.gov/. Performance.gov, http://goals.performance.gov/agency/ed identifies the priority goals that will deliver improved educational outcomes for students.

Reducing Errors through Electronic Submissions

In accordance with the Federal Funding Accountability and Transparency Act, prior to FY11, agencies were required to submit contract data to the Federal Procurement Data System (FPDS-NG) and separately submit the associated contract accounting information to USASpending.gov. At that time, FPDS-NG did not capture the accounting information, and ED’s Contracts and Purchasing Support System (CPSS) maintained it separately. Therefore, twice a month, ED ran a query to extract this data from CPSS and submit it directly to USASpending.gov in order to update ED contract information that was pre-populated from FPDS-NG. This process was cumbersome and required extra measures to ensure the quality of ED contract accounting data on the USASpending.gov site.

In November 2010, FPDS-NG was enhanced to capture the accounting data. In addition, ED’s CPSS was enhanced to require users to enter the accounting data in CPSS and automatically send the fields to FPDS-NG for approval at the time of contract award. As a result, contract
accounting data is approved, completed and automatically transferred to the FPDS-NG system in real time. Today, the FPDS-NG system transmits all of ED’s contract accounting data to USASpending.gov, and the monthly query that ED submitted separately is no longer required. This improved process puts quality first and reduces the risk that ED contract data will be incomplete or inaccurate when viewed by the public.

**Efforts to Comply with Section 508 Regarding Information Management**

The Department has embarked on an Accessibility Enhancement Program. This program is led by the Under Secretary and supported by the Deputy Secretary and Assistant Secretary for Communications and Outreach. An Accessibility Task Force has outlined several key initiatives that make up this program: increasing awareness about accessibility and the importance of accessible websites and electronic documents posted on websites; establishing more robust accessibility policies and standards; developing tools, support and training for those responsible for developing and maintaining content; and establishing processes for periodic review and evaluation of accessibility policies, standards, and practices at the Department.

The Department has distributed an enterprise memo outlining the accessibility program, 504 and 508 information, and requesting an accessibility team lead from each major office; provided multiple presentations on accessibility to staff, including Senior Leadership; worked with the Office of General Counsel to develop ED accessibility policies; worked with Accessibility Task Force to draft Strategic Plan for Accessibility Improvement; and purchased Adobe Pro for those responsible for electronic content.

Efforts under way include: evaluating new tools that improve accessibility for social media; documenting ED requirements for electronic documents; developing and delivering accessibility training; and developing standardized contract language to ensure accessibility is considered for non-IT projects.

**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 $45.17M (10 percent of total IT spending) in FY10 to $64.63M (13 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 $19.46M. An example of the cost avoidance and cost savings that the segment modernization planning process has enabled can be found in ED’s Grants segment. By opting to reuse the Grants Electronic Monitoring System developed by the Office of Postsecondary Education to support grants management operations in the Office of Elementary and Secondary Education, the Department was able to avoid a onetime $300,000 charge for software development and save $10,000 a year in software licensing costs.

**Department of Energy**

**Information Technology Strategic Plan and Enterprise Architecture Transition Plan**

Information Resources Management (IRM) Strategic Plan:


**Information Dissemination Management to the Public**

Final determinations, priorities, and schedules for each E-Gov initiative: [www.energy.gov/open](http://www.energy.gov/open).
The Department of Energy (Energy) is not the lead agency for any current E-Gov initiative.

Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to your agency’s information by the public:

- [http://energy.gov/about-us/web-policies](http://energy.gov/about-us/web-policies)
- [http://energy.gov/cio/federal-regulations](http://energy.gov/cio/federal-regulations)
- [http://energy.gov/cio/guidance](http://energy.gov/cio/guidance)
- [http://energy.gov/cio/omb-requirements](http://energy.gov/cio/omb-requirements)
- [http://www.osti.gov](http://www.osti.gov)

**Freedom of Information Act (FOIA) Compliance**


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

Public websites disseminating research and development (R&D) information to the public:

- [www.osti.gov](http://www.osti.gov);  
- [www.scienceaccelerator.gov/](http://www.scienceaccelerator.gov/);  
- [www.osti.gov/energycitations](http://www.osti.gov/energycitations);  
- [www.osti.gov/bridge](http://www.osti.gov/bridge);  
- [www.osti.gov/rdprojects](http://www.osti.gov/rdprojects);  
- [www.osti.gov/doepatents](http://www.osti.gov/doepatents);  
- [www.osti.gov/accomplishments](http://www.osti.gov/accomplishments);  
- [www.osti.gov/dataexplorer](http://www.osti.gov/dataexplorer);  
- [www.science.gov](http://www.science.gov)  
- [www.osti.gov/mobilegallery.html](http://www.osti.gov/mobilegallery.html);  
- [www.osti.gov/greenenergy](http://www.osti.gov/greenenergy)  
- [http://m.worldwidescience.org](http://m.worldwidescience.org)

To further extend the availability of scientific research results, Energy R&D information is now accessible through the establishment of mobile applications for mobile devices. Energy has
developed mobile apps to enable researchers to access a number of databases, including Energy Citations Database, Information Bridge, ScienceCinema, DOEpatents, and DOE Green Energy. Searches may be narrowed by document type, including multimedia and standard options, with results downloaded or emailed. There is a mobile gallery [www.osti.gov/mobilegallery.html](http://www.osti.gov/mobilegallery.html) for easy reference.

The Office of Scientific and Technical Information launched the Green Energy Portal [www.osti.gov/greenernergy](http://www.osti.gov/greenernergy) in FY10 to host green energy results from research and development conducted throughout the Department and by Energy-funded awards at universities. In FY11, the portal was enhanced with new semantic search technology called “keyword to concept mapping”. This search technology is applied to a user’s search behind the scenes and helps hone the search for more efficient knowledge access and discovery. The DOE Green Energy site organizes green energy R&D and makes it freely accessible to researchers, scientists, educators, students and the public.

A mobile version of WorldWideScience.org, [http://m.worldwidescience.org](http://m.worldwidescience.org) has been launched, which will mark another first in the field of federated search. Hosted by DOE in partnership with the WorldWideScience Alliance, these enhancements build on WorldWideScience.org’s history of innovation in combining information and search technologies with a commitment to accelerate scientific discovery. This commitment is shared by the multilateral WorldWideScience Alliance, comprised of globally-dispersed national and international scientific and technical information.

**Dissemination of Formal Agency Agreements with External Entities to the Public**

Inventory of formal agency agreements with external entities: [http://www.osti.gov/alliances](http://www.osti.gov/alliances).

In partnership with the Science.gov Alliance, the Office of Scientific and Technical Information (OSTI) hosts Science.gov, an interagency portal providing single-query access to RD results of 14 Federal agencies. Science.gov is governed by a voluntary collaboration of 18 U.S. Government science organizations which enable the public, science professionals, students, educators and the business community to find authoritative Government science information. In FY11 Science.gov added an image search and a mobile version of Science.gov was developed, available at m.science.gov. OSTI partnered with a vendor in the launch of a new multimedia search tool: ScienceCinema. OSTI broadly disseminates and preserves the Energy Department's scientific output. This search tool uses speech recognition technology to enable searching of digitized spoken content.

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


Energy continues to implement the initial guidance contained in NARA Bulletin 2006-02. Energy submitted one schedule for electronic systems to NARA in FY11. This schedule is pending approval.

**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 provides significant advantages, such as improved security and streamlining business activities.

**Electronic Means of Enhancing Public Participation in Government**

Energy participates in the E-Rulemaking initiative [http://www.regulations.gov](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**

The Annual Performance Report (APR) provides detailed performance information related to the Department's suite of performance metrics and a description of the annual result for each measure.

- [http://www.energy.gov/about/budget.htm](http://www.energy.gov/about/budget.htm)
- [http://www.goals.performance.gov/agency/doe](http://www.goals.performance.gov/agency/doe)

Energy’s performance goals are linked to key stakeholders, private sector, other agencies, and internal operations in Energy’s Strategic Plan and Annual Performance Report. These documents are available for review by the public and posted to:

- [http://www.cfo.doe.gov/strategicplan/strategicplan.htm](http://www.cfo.doe.gov/strategicplan/strategicplan.htm)
- [http://www.energy.gov/about/budget.htm](http://www.energy.gov/about/budget.htm)

**Reducing Errors through Electronic Submissions**

*Hiring Management Enterprise Solution (HMES)*: Hiring Management, the Department’s automated talent acquisition system, reduces the potential for errors particularly during the category rating process. In HMES, qualifications are largely performed by the system utilizing category rating. Applicants now submit all of the information electronically. The applicant answers a series of questions relating to work experience and education. The system itself now tallies up the responses to job assessments and derives the score for each applicant automatically. Veteran’s Preference is adjudicated within each category and applicants are sorted accordingly. HM also produces an electronic certificate of eligible applicants for hiring managers.

*Electronic Official Personnel File (eOPF)*: Energy is using the eOPF to automate the handling and storage of Federal employee official personnel records. The secure eOPF system allows employees to access their personnel records online and be automatically notified when documents are added to their record, making this information transparent to the employee. This information is available online, employees can review personnel action for processing errors and report to the HR office for resolution. Employees can also identify missing documents in their personnel record and notify the HR office. Energy’s eOPF allows electronic transfer of records between Federal agencies reducing the possibility of misplaced or compromised records.
**e-QIP Submissions:** Energy has reduced errors through the use of the OPM’s e-QIP. e-QIP – Electronic Questionnaires for Investigations Processing is a secure-web based automated system which facilitates the processing of the investigative standard forms approved by the OPM and the OMB.

**Efforts to Comply with Section 508 Regarding Information Management**
The Office of the Chief Information Officer 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 works closely with the established Section 508 Charter Working Group responsible for coordinating with Headquarters and Field Site IT Management in meeting what is anticipated to be a large scale effort necessary in ensuring full compliance.

**Quantifying Cost Savings Achieved through Implementation of IT Programs**
An estimated savings of $17M is projected over FY11-FY15 from utilizing cloud computing to transform the delivery of commodity IT services; transitioning calendar and e-mail operations for 5,000 users; modernizing an enterprise resource planning (ERP) system which will retire over 25 legacy systems; a data center optimization initiative; and revitalizing the records management process.

**Department of Health and Human Services**

**Information Technology Strategic Plan and Enterprise Architecture Transition Plan**
Information Technology Strategic Plan:

Enterprise Architecture Transition Plan:

**Information Dissemination Management to the Public**
- Information on HHS' web communication and new media programs and presence: http://www.hhs.gov/web/index.html.

**Freedom of Information Act (FOIA) Compliance**
Primary FOIA website: http://www.hhs.gov/foia/.

Frequent requests for records are made available to the public at: http://www.hhs.gov/foia/reading/index.html.

**Dissemination of Federal Research and Development (R&D) Funding to the Public**
Public websites disseminating research and development (R&D) information to the public: http://www.hhs.gov/about/hhsbudget.html#SecretarySebeliusSummarizestheHHSFY2012. Budget FY12 President's Budget for HHS.

**Dissemination of Formal Agency Agreements with External Entities to the Public**
Information Dissemination Management to the Public: http://www.hhs.gov/policies/index.html
HHS policies


Information Dissemination Management to the Public: http://aspe.hhs.gov/pic/. Assistant Secretary for Planning and Evaluation Policy Information Center


**National Archives and Records Administration (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/rcs/.

**Implementation of Electronic Signatures for Interoperability**
In conjunction with HHS’ HSPD-12 program and the roll-out of the 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 whose certificate authority is cross certified with the Federal Bridge.

The Indian Health Services utilizes signed electronic records as a part of its Resource and Patient Management System (RPMS) Electronic Health Record (EHR), 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.

**Electronic Means of Enhancing Public Participation in Government**
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 Regulations.gov. Such notices of proposed rulemaking provided the public with the opportunity for electronic submission 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**

The Centers for Medicare and Medicaid Services (CMS) Quality Improvement Organization program promotes higher quality, more efficient health care for Medicare beneficiaries. The reporting of quality measures encourages physicians to improve their quality of care and empowers consumers with information to make more educated health care decisions.

The goal of the CMS Quality Program Investment is to provide a common IT platform to support QIO business operations, promote application, data & information sharing, and to support management information. The purpose of QualityNet Exchange is to improve the quality of care for Medicare beneficiaries through increased efficiencies in information exchange. CMS publicly reporting quality measures encourages physicians and hospitals to improve their quality of care and empowers consumers with information to make more educated health care decisions.

The Indian Health Service Resource (IHS) and Patient Management System (RPMS) is a comprehensive health information system (HIS) created to support the delivery of high quality health care to American Indians and Alaska Natives who attend several hundred Federal, Tribal, and Urban facilities nationwide. RPMS is critical to IHS operations and integrates practice management, medical, behavioral health, population health and performance reporting functions into a fully capable electronic health record (EHR) suite.

The FY10 target to derive 63 clinical measures from the Resource and Patient Management System (RPMS) and integrating the Electronic Health Record (EHR) in all 12 Areas was met and exceeded. This measure is designed to improve the quality of care through the use of appropriate technology and to improve passive extraction of clinical performance data from RPMS health information system.

**Reducing Errors through Electronic Submissions**

Changes to NIH policy and systems have had an impact on the efficiency of the grant application and award processes. NIH grant applicants now submit over 93 percent of grant applications electronically through the central Federal portal, Grants.gov, on forms that are shared across the Federal research agencies. The integration of the applicant's information into the NIH Electronic Research Administration has increased the accuracy of the information provided to grant program officers and reviewers. NIH has also moved to fully electronic notices of grant awards, Financial Status reports, and annual noncompeting progress reports, creating processes that are more accurate, streamlined and efficient for the scientific community.

The Food and Drug Administration (FDA) Electronic Submissions Gateway is an integrated system that enables the electronic regulatory process between industry and FDA. It stores, retrieves, and distributes submissions to reviewers and interfaces with FDA databases. The Gateway has a positive impact on existing practices: timeliness is increased; paper copies generated for submission and archiving are reduced; electronic acknowledgments of successful transmission can be received and saved; and the accuracy of submissions is increased, which can speed up the new product review process.
The CDC Public Health Information Network BioSense Program is critical to improving local, state, and Federal surveillance capacity into the health of communities and the country. It helps guide public health decision making and action at the local, regional and national level. With BioSense, the public health community is able to more efficiently track health problems as they evolve and provide public health officials with the data, information and tools they need to better prepare for and coordinate responses to public health crisis.

**Efforts to Comply with Section 508 Regarding Information Management**

The Office on Disability and the Office of the Assistant Secretary for Public Affairs convened a departmental working group to revise and update Section 508 policy. The Assistant Secretary for Administration was designated the lead to outline a new approach in view of gaps in 508 compliance identified by the Office on Disability and employees with disabilities.

The HHS Section 508 Program Team reconvened as the Access Board to serve as 508 Governance for activities and issues. The team of Section 508 Coordinators and technical experts from each HHS operating division [http://www.hhs.gov/od/508coordinators](http://www.hhs.gov/od/508coordinators), conduct meetings to address technical questions and accessibility issues, and to share accessibility information throughout HHS. The Access Board's refresh of Section 508 regulations are forthcoming, HHS anticipates developing and disseminating revised Section 508 policy and guidance what accessibility issues must be addressed and how to plan for and remediate accommodation issues. Current examples of Section 508 guidance include:

- The HHS Section 508 Program team is developing a Section 508 Acquisition training to improve the use of appropriate solicitation and contract language when procuring goods and services for HHS.
- The Section 508 Training Subgroup released a video on Section 508 awareness. The video is now included in the Office of the Secretary and the HHS FDA new employee orientation.
- The Assistant Secretary for Public Affairs developed training materials on how to prepare documents in various formats that meet accessibility requirements.

**Quantifying Cost Savings Achieved through Implementation of IT Programs**

The E-Gov Benefits Report summarizes benefits realized and expected from Electronic Government (E-Gov) initiatives funded by HHS, either as the managing agency or through contributions to other agencies in accordance with the reporting requirements established in section 737 of Public Law 110-161.

HHS serves as the managing partner of the Grants.gov e-Government program. Grants.gov is the Federal Government’s single website providing information on over 1000 grant programs awarded by the 26 grant-making agencies and other Federal grant-making organizations. The initiative enables Federal agencies to publish grant funding opportunities and application packages online, while allowing over 1 million organizations that comprise the grant community (state, local, and tribal governments, education and research organizations, non-profit organizations, public housing agencies, and individuals) to search for opportunities and download, complete, and electronically submit applications. The following highlight the system’s use and benefits in FY11:
- 3,847 discretionary funding opportunities were posted in FY11, 3,762 of those accompanying a matching synopsis.
- The funding opportunities announced through Grants.gov resulted in approximately $156 billion in grants and financial assistance awarded by the 26 grant-making agencies and other Federal grant-making organizations.
- 257,315 grant applications were received and processed
- Over 275,000 Authorized Organization Representatives were registered with Grants.gov.
- Through the government-wide Grants.gov Memorandum of Understanding and Service Level Agreement with all 26 Federal agencies, contact center operations serviced 288,843 calls and 40,450 emails for a total of 329,293 contacts on behalf of the grant making agencies.
- Over 2,000 people were supported and trained, including Federal, state and local grant administrators, congressional workshops, and grant organizations.
- Over 6,000 registration brochures and CD’s were distributed
- Quarterly satellite webcasts were instituted to provide outreach, status and technical and program management status and support servicing the grant community.

The collection and analysis of data by FDA staff must occur throughout the entire life cycle of a product to identify unexpected safety risks associated with the use of a human drug that could not have been predicted by clinical trials and bio statistical analysis. Reports of these unexpected safety problems, called adverse events, are captured in the Adverse Event Reporting System (AERS), a critical component of FDA's post-marketing safety surveillance systems for all drug and therapeutic biologic products. Information captured in AERS allows FDA scientists and statisticians to search for patterns that may indicate an emerging safety hazard, which is the first step in analyzing the potential causes and formulating an effective risk management response.

The average cost associated with turning a submitted Adverse Event Report into a verified record in the database has been decreasing since FY03 due to FDA efforts to streamline its business processes and improve the information systems that are used to process records. In FY03, the cost per report was $21.91 per report. By FY10, the cost per report was reduced to $7.35. The overall savings to FDA from electronic submission continues to increase due the increasing numbers of received reports. In the absence of electronic submissions, the program costs for manual data entry would be nearly double the cost using electronic submission.

**Department of Homeland Security**

**Information Technology Strategic Plan and Enterprise Architecture Transition Plan**


**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:

- **Determinations:** In 2011, it was determined that it was in the best interest of the Government to fund the Disaster Management Initiative in the amount of $12,270,000.
- **Priorities:**
  - Continued rollout of the CMS across DHS components.
  - To consolidate Web content to more easily access information on cross-cutting national initiatives that the Federal Emergency Management Agency (FEMA) manages for the benefit of Federal departments and agencies and the American people, such as the National Exercise Program, National Training Program, lessons learned and corrective action platforms, grant programs, and FEMA’s role in coordinating the Federal response and recovery efforts during disasters.
  - Updates and enhancements to FEMA mobile site and the FEMA mobile application.
  - Research, design, and development of emerging technologies.
- **Schedule:** Complete the above priorities by the end of FY12.
- **Website:** [http://www.fema.gov/about/programs/disastermanagement/](http://www.fema.gov/about/programs/disastermanagement/).

Disaster Assistance Improvement Plan:

- **Determinations:** In 2011, it was determined that it was in the best interest of the Government to fund the Disaster Assistance Improvement Plan Initiative in the amount of $15,847,536.
- **Priorities:**
  - Improve the citizen disaster survivor experience in applying for and receiving disaster assistance by providing a consolidated repository of forms of assistance (FOAs) and simplifying the application process. Initial completion date for this item was December 2008. In 2011, the DAIP PMO began working on usability improvements to further improve the Web portal and application process. The first of the usability improvements will be implemented in production January 2012, with additional improvements to usability, the application process, and account creation continuing in FY12.
  - Enable improvements to DAIP and its partners’ business processes currently in place to provide disaster assistance. Completion date for this priority was September 2011.
  - Improve the coordination of interagency operations to better facilitate disaster assistance. Completion date for this priority was September 2011.

Information Systems Security Line of Business (LoB):

- **Determinations:** In 2011, it was determined that it was in the best interest of DHS to fund the Information Systems Security LoB Initiative in the amount of $3,026,000.
- **Priorities:**
  - Establish BPAs for Continuous Monitoring Products and Services. Requirements were completed by September 2011 and on-going BPA development continues in FY12.
Deliver an acquisition guide for federal agency use in procuring DNSSEC services. Priority completed April 2011.

Identify Situational Awareness and Incident Response Tier IV product acquisition targets. A number of targets for SAIR Tier 4 are being considered including Continuous Monitoring as a Service, tools and services to support secure email gateways and tools and services to support secure wireless networking; work on this priority continues in FY12.

ISS LoB Shared Service Center performance review These are quarterly events, with reviews held May 2011, September 2011, and December 2011. Status on Shared Service center performance is documented quarterly.


International Trade Data System:

- Determinations: In 2011, it was determined that it was in the best interest of the Government to fund the International Trade Data System in the amount of $16,000,000.
- Priorities:
  - Reduce the cost of reporting international trade transactions for business and processing international trade transactions
  - Facilitate compliance with Government trade requirements (e.g., transportation, public health, safety, export control)
  - Enhance national security by facilitating the sharing of information among authorized agencies
  - Provide access to more accurate, complete, and timely international trade information
  - CBP has released various interfaces and protocols, including message sets and implementation guides, to allow PGAs (Participating Government Agencies) to communicate and share information related to cargo imports, and to allow Trade Members to supply documentation needed during the cargo release process to Federal agencies electronically. These actions will assist in meeting the priorities listed; the specific actions and dates are as follows:
    - PGA interfaces and interoperability: deployed August 2011.
    - PGA web service capability: deployed September 2011.
    - PGA message set: deployed December 2011
    - Document Image System (DIS) / ACE portal link: March 2011.
- Website: http://www.itds.gov/.

SAFECOM:

- Determinations: In 2010, it was determined that it was in the best interest of the Government to fund the SAFECOM Initiative in the amount of $2,098,000.
- Priorities:
  - Update and deliver the annual SAFECOM grant guidance document to help maximize the efficiency in which public safety communications-related funds are allocated and spent. Priority completed January 2011.
o Provide guidance and support to the Office of Emergency Communications as it conducts follow-up state-wide planning evaluation activities. Priority completed June 2011.
o Provide guidance and support to the Office of Emergency Communications in its delivery of state-wide and tactical technical assistance to state, local and tribal governments and first responder organizations. Priority completed September 2011.

- Website: http://www.safecomprogram.gov/.

Freedom of Information Act (FOIA) Compliance
FOIA handbook: http://www.dhs.gov/xlibrary/assets/foia/privacy_foia_improvement-plan_r.pdf


Frequent requests for records are made available to the public at:

Dissemination of Federal Research (R&D) Development Funding to the Public
Public websites disseminating research and development (R&D) information to the public: www.safecomprogram.gov.

From an E-Gov perspective, SAFECOM is a communications program of the Department of Homeland Security. SAFECOM provides research, development, testing and evaluation, guidance, tools, and templates on interoperable communications-related issues to local, tribal, state, and Federal emergency response agencies. The Office for Interoperability and Compatibility (OIC) supports SAFECOM-related research, development, testing, evaluation and standards. OIC is managed by the Science and Technology Directorate. The SAFECOM website is www.safecomprogram.gov.

Dissemination of Formal Agency Agreements with External Entities to the Public
Inventory of formal agency agreements with external entities: :

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, Office of Personnel Management (OPM), Health and Human Services (HHS), Department of Interior (Interior), Department of Labor (Labor), Department of Education (ED), and National Science Foundation (NSF). Initiatives where DHS is the managing partner, additional agreements exist with state and local emergency management organizations and other private industry organizations. DHS participates in the following E-Gov initiatives.

- **Disaster Management:** Helps citizens and members of the emergency management community at the Federal, Local, Tribal, and State government levels by improving public safety response through more effective and efficient interoperable data communications and to serve as a unified point of access to disaster preparedness, mitigation, response, and recovery information.
- **Disaster Assistance Improvement Plan:** Disaster Assistance Improvement Plan is a Government-wide single portal for disaster victims to submit electronic applications for
assistance. The focus of the current plan is to provide application services following major disaster declarations to homeowners and renters, most of which are typically referred to SBA for a loan.

- **Information Systems Security LoB**: The Federal Government’s information systems security program enables agencies’ mission objectives through a comprehensive and consistently implemented set of risk-based, cost-effective controls and measures that adequately protects information contained in Federal Government information systems.

- **International Trade Data System**: ITDS provides all appropriate agencies a single point of access to consolidated import information through a secure web portal, and will continue to expand existing public-private partnerships in order to seek and share recommendations and best practices within the importing community.

- **SAFECOM**: SAFECOM functions as the key Federal coordinator for promoting and providing support to local, tribal, state, and Federal public safety agencies for the improvement of public safety response through more effective and efficient interoperable wireless communications.

- **Enterprise Human Resource Integration**: The EHRI initiative develops policies and tools to streamline and automate the electronic exchange of standardized HR data needed to create official employee records across the Executive Branch. The EHRI toolset and central data repository will provide comprehensive knowledge management, workforce analysis, forecasting, and reporting across the Executive Branch for the strategic management of human capital.

- **E-Rulemaking**: Improves the access to, and quality of, the rulemaking process for individuals, businesses, and other Government entities while streamlining and increasing the efficiency of internal agency processes.

- **E-Training**: E-Training is a Government-wide initiative focused on creating a premier E-training environment that supports the development of the Federal workforce and advances the accomplishment of agency missions through simplified, one-stop access to E-Training products and services.

- **GovBenefits.gov**: Provides a single point of access for citizens to locate and determine potential eligibility for Government benefits and services.

- **Grants.gov**: Grants.gov is a single portal for all Federal grant customers to find and apply for grants online.

- **IAE-Loans and Grants**: The Federal Funding Accountability and Transparency Act of 2006 (FFATA) requires OMB to “ensure the existence and operation of a single searchable website, accessible by the public at no cost” that includes information on each Federal award. The IAE – Loans and Grants initiative supports the FFATA for the relationship with Dun and Bradstreet (D&B) and Data Universal Numbering System (DUNS) support services. The IAE Program Management Office shall execute any interagency funding agreements necessary to cover the cost of participating in the initiative and ensure administration of the D&B contract.

- **Integrated Acquisition Environment**: This initiative creates a secure business environment that facilitates and supports cost-effective acquisition of goods and services by Federal agencies, while eliminating inefficiencies in the current acquisition environment.

- **Budget Formulation and Execution (BFE) LoB**: The BFE LoB strives to find solutions that link budget formulation, execution, planning, performance, and financial
information. Areas of particular interest include technology, budget performance integration, data collection and tracking, financial management integration, and human capital.

- **Financial Management LoB**: Improves the cost, quality, and performance of financial management, reducing non-compliance systems by leveraging common standards, shared service solutions and implementing other Government-wide reforms that foster efficiencies in Federal financial operations.
- **Geospatial LoB**: The Geospatial LoB will identify opportunities for optimizing and consolidating Federal geospatial-related investments and activities to reduce the cost of Government and improve services to citizens.
- **Grants Management LoB**: A Government-wide system to support end-to-end grants management activities that promote citizen access, customer service, and agency financial and technical stewardship.
- **HR Management LoB**: Cross-agency system that seeks to provide modern, cost-effective, standardized, and interoperable Human Resource services; providing common core functionality to support the strategic management of Human Capital.

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

NARA-approved records schedules:


Systems with approved NARA schedules are available to be viewed from this web site - [http://www.archives.gov/records-mgmt/rcs/](http://www.archives.gov/records-mgmt/rcs/) and further information is provided below:

As reflected in the Chief Acquisition Officer (CAO)/Records Management scorecard for the third quarter of FY11, the number of total systems and systems for which schedules have been submitted are provided below:

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<tr>
<th>Component</th>
<th>Total Systems</th>
<th>Systems Scheduled</th>
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<tr>
<td>DHS</td>
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<td>CIS</td>
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<tr>
<td>Component</td>
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<tr>
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<tr>
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All DHS Systems with applicable schedules:

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<td>GRS 3, Item 05</td>
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<td>DNDOBIDS/SBIR</td>
<td>GRS 3, Item 3</td>
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<td>Enterprise Architecture Repository and Requirements Management System (EAR-RMS)</td>
<td>GRS 27, Item 02</td>
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<td>DNDO</td>
<td>Joint Analysis Center Collaborative Information System (JACCIS)</td>
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<td>N1-563-08-024</td>
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**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 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. As a result of the HSPD-12 program, now virtually all DHS employees and contractors will have a digital signing and encryption certificate as part of their credential. 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 as the IT infrastructure to support an enterprise digital signature capability is underway as 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 web site, 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 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. In calendar year 2010 (the latest data available), DHS posted a total of 6,355 documents to FDMS, 579 rules and proposed rules, and received 1,513 public comments in Regulations.gov.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations
The Department has been working diligently to improve outcome-oriented performance measurement at both the Enterprise and individual IT program levels.

Enterprise Performance: The Federal Information Security Management Act (FISMA) compliance measure is not expected to meet the target for FY11 because the FISMA Scorecard was revised due to new FISMA requirements and other data collection needs, thereby raising the acceptable level of performance. The Enterprise Architecture maturity score is likely to reach 3 by the end of FY11. As of July 22, 2011, three domains/segments are covered by portfolio governance. The fourth domain/segment will have its first meeting by the end of the fiscal year, thus meeting the FY11 target.

Major IT Program Performance: The Department continues to provide monthly updates on DHS major IT programs reported on the Federal Information Technology (IT) Dashboard. Through the IT Dashboard, DHS shares up-to-date investment, planning, and performance information for the existing 87 major IT programs across all Components of DHS. These updates can be found at the following URL: http://www.itdashboard.gov/.

In compliance with OMB’s 25 Point Implementation Plan to Reform Federal Information Technology Management, DHS OCIO implemented the TechStat process used to perform comprehensive reviews of troubled IT program, identify and document issues, and provide correct actions. In FY12, OCIO plans to transfer the responsibility of conducting regular TechStats to the Components. OCIO will still maintain oversight of the TechStat process.
Reducing Errors through Electronic Submissions
The Department as a whole engages in 462 information collections from the public. Of these, there are 271 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 the 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: Staff a single point of contact for employees with accessibility needs or questions regarding 508 compliance. OAST processed 2,551 DHS Accessibility Help Desk requests, a 5.3 percent increase over last year.

Training and Outreach: OAST offers an extensive selection of hands-on, online and customized training opportunities. The Department successfully trained 1,032 DHS employees (COTRs, Program/Project Managers, developers) on Section 508 compliance and testing procedures. OAST conducted two “Listening Sessions” - Deaf/HoH & Low Vision/Blind DHS employees. These sessions provided DHS employees the opportunity to identify and share experiences whereby there was a lack in assistive services.

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. DHS conducted 362 IT Acquisition Reviews for Section 508 compliance – thereby influencing more than $3.5B worth of IT acquisitions. The Department launched DHS Component Dashboard to assist in tracking Section 508 activities across Components.

Application accessibility assessment: OAST provides accessibility assessments, reviews and evaluations of commercial and Government applications, including Web applications, for Section 508 compliance. The Department evaluated 405 IT applications for 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
Under OCIO leadership, the Enterprise Architecture team achieved cost avoidance and/or efficiency improvements of at least $25M by rationalizing the portfolio of IT applications and standardizing processes and technologies in four additional segments of the Homeland Security EA. The Department of Homeland Security redirects any costs saved through efficiencies to other priorities.

Department of Housing and Urban Development

Information Technology Strategic Plan and Enterprise Architecture Transition Plan
Information Resources Management (IRM) Strategic Plan:

Enterprise Architecture (EA) Plan:

Dissemination of Federal Research and Development (R&D) Funding to the Public
Final determinations, priorities, and schedules for each E-Gov initiative:
http://portal.hud.gov/portal/page/portal/HUD/about/inventory

Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to agency information by the public:
http://portal.hud.gov/portal/page/portal/HUD/about/inventory

HUD.gov was developed as the information clearinghouse for the public and the Department of Housing and Urban Development’s (HUD) business partners. Consequently, HUD’s E-Gov initiatives already provide the most commonly requested information under the Freedom of Information Act and through email and telephone contacts. However, to ensure requested information is available HUD staffs who routinely respond to customer questions, provide feedback on any frequently requested information that is not already available on HUD's website. HUD has identified the inventory of information priorities and schedules available at:
http://portal.hud.gov/portal/page/portal/HUD/about/inventory

This Web Publication Schedule page also provides a link to HUD's Web Manager mailbox and solicits public comments and suggestions. As new information becomes available at HUD that is important to the public, the Department is committed to putting it on HUD's Homes and Community website. HUD’s information dissemination products, catalogs, directories, inventories and other management tools are found on HUD.gov Resources, Contact Us, and HUD User web pages.

Freedom of Information Act (FOIA) Compliance

Frequent requests for records are made available to the public at: http://www.hud.gov/offices/adm/foia/referencematerials.cfm.

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

Not Applicable, HUD does not fund research and development (R&D) activities.

**Dissemination of Formal Agency Agreements with External Entities to the Public**

Agreements either between or among Federal agencies, or between Federal agency and state or local governmental agencies or nongovernmental entities, go by many names, for example, memorandum of agreement, memorandum of understanding, interagency agreements, and intergovernmental agreement.

Historically, HUD has successfully carried out its mission through its relationships with other Federal agencies and various business partners, including nonprofit organizations, state and local governments, housing agencies, authorities, and tribes; community and faith-based organizations; various housing industry groups including lenders, brokers, appraisers, and multifamily developers and owners, health care facilities providers, small businesses; fair housing organizations; and investors. These 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:

*Disaster Assistance Improvement Plan (DAIP):* The Disaster Assistance Improvement Plan (DAIP) implemented DisasterAssistance.gov to improve the delivery of disaster assistance all across 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.

*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 was able to receive and review applications for funding through a single interface. http://grants.gov/

*Integrated Acquisition Environment:* IAE creates a secure business environment that will facilitate and support cost-effective acquisition of goods and services by agencies, while eliminating inefficiencies in the current acquisition environment. This initiative will promote increased efficiency and effectiveness of goods and services in a cost effective manner, while providing more access to small business. By using IAE HUD has the capability to access common systems that support the procurement process (e.g., past performance, central contractor registration), and share data and expenses with other agencies, thus providing greater functionality and better information at reduce cost. https://www.acquisition.gov/.
National Archives and Records Administration (NARA) - Approved Records Schedules
Inventory and Progress on NARA Bulletin 2006-02
In compliance with NARA Bulletin 2006-2, 100 percent of HUDs financial information systems have been approved by NARA. HUDCLIPS and HUDs Web Management records were approved in FY11. HUDs Directives/Issuances/Policy files were converted from a temporary retention to a permanent collection. OGCs Legal record schedule was approved as media-neutral records.

HUD public website to HUD Records Disposition Schedules can be found at:

The public website to HUD Records Control Schedules can be found at:

Implementation of Electronic Signatures for Interoperability
HUD is evolving and maturing its use of electronic authentication tools to support secure access to systems and data both internally and externally. Internally, HUD has issued FIPS 201 compliant personal identity verification (PIV) credentials to virtually all of its employees and applicable contractors. HUD is beginning to integrate use of these two-factor authentication credentials with the access controls to HUD’s systems as an upgrade to the more typical user name and password approach. Externally, HUD has been using electronic authentication tools to permit secure access to systems and data by customers for many years. HUD has initiated a new project to consolidate and standardize its access control tools using contemporary technologies. This project will permit HUD to fully utilize the electronic signature capability on the PIV cards used by employees and contractors and reduce the number of system specific user names and passwords used by customers. The project will also implement better management controls for providing and revoking access to specific systems and data.

Electronic Means of Enhancing Public Participation in Government
HUD continues to support the effort to support Regulations.gov, the Government-wide website that provides the public a portal to access and participate in the Federal rulemaking process. HUD has participated in this effort since the inception of Regulation.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
To realize HUD’s mission to create strong, sustainable, inclusive communities and quality, affordable homes for all, the HUD Strategic Plan articulates five overarching goals. These goals guide the transformation of HUD to implement place-based policies; drive a balanced, comprehensive national housing policy that supports sustainable homeownership and affordable
rental homes alike; and build the strong and discrimination-free communities that serve as the foundation for opportunity.

The Management Action Plan (MAP) translates the broad goals and outcome measures in HUD’s FY10-FY15 Strategic Plan into specific, quantifiable targets and actions that HUD plans to accomplish in the upcoming fiscal year. The MAP focuses on Agency Priority Goals (APGs), priorities which the Department has committed to achieve by the end of FY13. The MAP also includes objectives to achieve Goal 5 in the HUD Strategic Plan, Transforming how HUD does business.

The Government Performance and Results Modernization Act of 2011 requires all Federal agencies to develop a set of APGs against which they will report progress quarterly. HUD identified seven APGs during a series of priority setting meetings with senior leadership during the spring of 2011, representing some of the core programs of the agency. Four of the seven APGs are extensions of the FY10/11 APGs (formerly known as High Priority Performance Goals (HPPGs)).

The MAP is not intended to represent all of the work HUD will do towards achieving the Department’s goals, rather it focuses on the strategies and targets related to achieving the APGs and strategies related to achieving Goal 5 of the Strategic Plan. Further detail for programs and activities that do not contribute to the APGs or Goal 5 objectives will be reflected in each program and support area Operating Plans which are still under development. The FY12/13 MAP is designed to:

- Include both program and place-based activities, outputs and outcomes;
- Guide the work activities of HUD staff in headquarters and in the field; and
- Ensure that HUD achieves the Department’s Strategic goals

**Reducing Errors through Electronic Submissions**

HUD has consistently utilized XML schema and the eCPIC tool to submit data to the Office of Management and Budget (OMB) to update the Federal IT Dashboard and subsequently ensure its accuracy, reliability, and timeliness. HUD has already made the details of its major investments available on the dashboard, along with links to detailed financial information, Exhibit 300s, and other relevant data. 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.

HUD has been a leader in Open Government and is committed to making its operations more transparent and intelligible to the American people. 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 is 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 its Assistive Technology Program). Carrying out the outlined responsibilities ensures that HUD acquires the most compliant EIT. Additionally, HUD's web policies 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 the agency an undue burden.

Quantifying Cost Savings Achieved through Implementation of IT Programs

During FY12 and FY13, HUD currently expects to retire or decommission and receive expected cost savings (ECS) from these systems once the new capabilities for the Transformation Initiative (TI)/IT initiatives are in place:

- Program Accounting System (PAS) – ECS: $411,733;
- HUD’s Central Accounting and Program System (HUDCAPS) – ECS: $3,298,259;
- Fair Housing Administration Subsidiary Ledger (FHASL) – ECS: $2,525,390;

HUD has not yet quantified programmatic efficiencies that may occur following the implementation of new supporting technologies for the target business areas. Planning is currently on the way to determine projected retirement dates and estimated cost savings of approximately ten additional systems.

Department of Justice

Information Technology Strategic Plan and Enterprise Architecture Transition Plan


Enterprise Architecture (EA) Plan: The Department of Justice (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 towards 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 towards the Target Architecture.

Information Dissemination Management to the Public
Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to agency information by the public: http://www.justice.gov/jmd/ocio/egovschedule.htm. The Department of Justice publishes a comprehensive web site inventory and priority list that is available for public comment at all times.

Freedom of Information Act (FOIA) Compliance

Primary FOIA website: www.justice.gov/oip.

Frequent requests for records are made available to the public at: www.justice.gov/oip/foia-library.html.

Dissemination of Federal Research and Development (R&D) Funding to the Public
Public websites disseminating research and development (R&D) information to the public:

- www.nij.gov/
- www.bja.gov/
- www.ojjdp.gov/
- www.it.ojp.gov
- www dna.gov
- www.ojp.usdoj.gov
- www.nij.gov/
- www.bja.gov/
- www.bjs.gov/
- www.ojjdp.gov/
- www.ovc.gov
- www.ncjrs.gov
- www dna.gov
- www.smart.gov/

Dissemination of Formal Agency Agreements with External Entities to the Public
The 2011 inventory describing agreements with external entities complementing Justice’s information dissemination program is below:

- Community Anti-Drug Coalitions of America (CADCA National Coalition), http://cadca.org
- National Training and Technical Assistance Center, http://www.nttac.org
- State Administering Agencies, www.ojp.usdoj.gov/saa/
- University at Albany, School of Criminal Justice, http://www.albany.edu/sourcebook/
- U.S. General Services Administration, Office of Citizen Services and Communications, www.usa.gov/About.shtml
- Bureau of Justice Statistics Listserv, JUSTSTATS
- Database aggregators that host the NCJRS Abstracts Database, DIALOG/Cambridge/EBSCO
- Editors of justice and substance abuse periodicals, Criminal Justice Editors' Group
- International audience of justice and substance abuse researchers, policymakers, practitioners, and others, Electronic Mailing Lists
- Multi-disciplinary group of NCJRS customers, Consumer Advisory Network
- National Archive of Criminal Justice Data (NACJD), http://www.icpsr.umich.edu/NACJD/index.html
- The Rural Law Enforcement Technology Institute, http://rleti.org
- Forensic Science Continuing Education Course List, https://www.forensiced.org/
National Forensic Science Technology Center (NFSTC), [www.nfstc.org](http://www.nfstc.org)

Justice Technology Information Network (JUSTNET), [http://www.justnet.org/Pages/home.aspx](http://www.justnet.org/Pages/home.aspx)

National Clearinghouse for Science, Technology, and Law, [www.ncstl.org](http://www.ncstl.org)

Marshall University Forensic Science Center, DNA Training Pages, [http://forensics.marshall.edu/](http://forensics.marshall.edu/)

Electronic Monitoring Resource Center, [https://emresourcecenter.nlectc.du.edu/](https://emresourcecenter.nlectc.du.edu/)

NamUs Unidentified Persons, [https://identifyus.org/](https://identifyus.org/)

NamUs Missing Persons, [https://www.findthemissing.org/](https://www.findthemissing.org/)


Virginia Center for Policing Innovation, [http://www.vcpionline.org/](http://www.vcpionline.org/)

West Virginia University, [http://elearn.wvu.edu/](http://elearn.wvu.edu/)

Justice Resource Update, Online and hardcopy publication

Institute for Intergovernmental Research, [http://www.nsopw.gov/Core/Conditions.aspx](http://www.nsopw.gov/Core/Conditions.aspx)


National Crime Victims' Service Awards Nomination Site, [https://ovcnccvrw.ncjrs.gov/awards/default.html](https://ovcnccvrw.ncjrs.gov/awards/default.html)


Office for Victims of Crime Training and Technical Assistance Center (OVC TTAC), [www.ovcttac.gov](http://www.ovcttac.gov)

Institute for Intergovernmental Research, [http://www.nationalgangcenter.gov](http://www.nationalgangcenter.gov)

Institute for Intergovernmental Research, [http://it.ojp.gov/default.aspx](http://it.ojp.gov/default.aspx)

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


In FY11, the Department of Justice (not including the independent Bureaus: Office of Justice Programs (OJP), Executive Office for United States Attorneys (EOUSA), U.S. Marshall Service (USMS), Executive Office for Immigration Review (EOIR), Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF), Federal Bureau of Investigation (FBI), Drug Enforcement Administration (DEA), National Drug Intelligence Center (NDIC), and the Federal Bureau of Prisons (BOP) submitted 20 records schedules for electronic information systems (EIS) that contain Federal records. According to the Office of Records and Management Policy’s (ORMP) most recent records, the Department currently has 194 EIS that contain Federal records, of which 159 have been scheduled (approved for final disposition) by the NARA, and 25 schedules have been submitted by Justice and are awaiting approval by NARA. To the best of Justice’s knowledge, only 10 EIS with Federal records are awaiting draft schedules from Justice Components which manage the systems.
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, Justice has enabled a small number of Adobe PDF forms in production and digital signing pilots have begun within Justice enabling Adobe PDF documents to be signed using the PKI signing certificates present on the HSPD-12 card. Additionally, Justice has established a technical infrastructure to provide long-term validation of digitally signed documents. In parallel, Justice is exploring implementing Digital Signing as a Service.

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 Bureau of Prisons, 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

Reducing Errors through Electronic Submissions
The Department has been submitting its Office of Management and Budget (OMB) Exhibits 53, OMB Ex 300A and B, and monthly Federal IT Dashboard updates electronically to OMB 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. Beginning May 2011, the Department implemented a new eCPIC Data Exchange (EDX) process to more directly collect Investment IT budget information. The EDX process ensures consistency between budget documents and helps the Department and Component agencies minimize IT reporting inconsistencies and redundant data entry. This new process serves to collect the data used to produce the Department’s OMB Exhibit 53.

Efforts to Comply with Section 508 Regarding Information Management
The Department of Justice has established an Assistive Technology Resource Center (ATRC) within the Justice Management Division whose mission is to provide accessible electronic and information technology solutions to Department of Justice employees with disabilities. The ATRC works with organization managers and employees with disabilities who qualify for assistive technology to identify appropriate solutions, and assist with obtaining and installing the solutions, and assisting employees learn to employ those solutions.

The Department’s Office of the Chief Information Officer, Internet Services Office leads regular meetings of a Department-wide Content Manager’s forum. One of the key issues that this group addresses is ensuring that the Department’s public and internal web pages comply with the
technical requirements of Section 508. The Content Manager Forum share best practices, tools, and techniques for ensuring that web content is compliant.

The Department’s Section 508 Coordinator reinvigorated the Accessibility Program by working with the department’s components to identify Section 508 Points of Contact within each organization. These POCs served as the leads for obtaining responses from each component to the FY10 Section 508 Compliance Survey. The results of the survey are being used to develop an Accessibility Awareness and Compliance training program. The objective of this training program is to raise awareness of the responsibilities of nearly every employee in meeting the requirements of Section 508.

**Quantifying Cost Savings Achieved through Implementation of IT Programs**

The Department of Justice has implemented several IT programs that have achieved cost savings and/or cost avoidance, one example is the Justice Transition from JUTNet to Networx. The Department of Justice awarded the Networx contract to manage Justice’s Wide Area Network, JUTNet, in July 2010. Pricing reductions went into effect as of November 1, 2010, providing the Department with a 14.3 percent savings per month in FY11, as compared to the legacy FTS2001 rates, resulting in a total FY11 savings of $6.32M.

**Department of Labor**

**Information Technology Strategic Plan and Enterprise Architecture Transition Plan**


**Information Dissemination Management to the Public**

Final determinations, priorities, and schedules for each E-Gov initiative: In accordance with Section 207(f)(2) of the E-Government Act of 2002, the Department of Labor (Labor) posts its web content publication schedule at the following link: [http://www.dol.gov/dol/aboutdol/content.htm](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](http://www.dol.gov/dol/foia/readroom.htm).

Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to agency information by the public: In accordance with Section 207(f)(2) of the E-Government Act of 2002, Labor posts its web content publication schedule at the following link: [http://www.dol.gov/dol/aboutdol/content.htm](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](http://www.dol.gov/dol/foia/readroom.htm).

**Freedom of Information Act (FOIA) Compliance**


Frequent requests for records are made available to the public at: [http://www.dol.gov/dol/foia/readroom.htm](http://www.dol.gov/dol/foia/readroom.htm).

**Dissemination of Federal Research and Development (R&D) Funding to the Public**
The Employment and Training Administration’s (ETA) website [http://www.doleta.gov/research/](http://www.doleta.gov/research/) provides information on ETA’s completed, current, and planned research and evaluation projects. Occupational Safety and Health Administration’s (OSHA) website, [http://www.osha.gov/dte/sharwood/index.html](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 employees on the recognition, avoidance, and prevention of safety and health hazards in their workplaces. Additional information on these grants as well as other competitive grants can be found on Labor’s Grant Application and Award Database, [http://www.dol.gov/dol/grants](http://www.dol.gov/dol/grants). This database, which was launched in September 2011, provides the public a central location to find award and programmatic information on all Labor’s competitive grants. Labor is promoting greater transparency to the grant making process by posting the abstracts of grant applications, and the contents of all grant applications selected for award. This site is a work in progress as new features and functionality will be added in the first quarter of 2012.

On April 15, 2010, Labor launched a website that provides searchable enforcement data produced by the Office of Federal Contract Compliance Programs (OFCCP), Employee Benefits Security Administration (EBSA), OSHA, Wage and Hour Division (WHD), and the Mine Safety and Health Administration (MSHA), [http://ogesdw.dol.gov/](http://ogesdw.dol.gov/). The purpose of the enforcement website is “to make the enforcement data accessible and searchable, using common search criteria, by the public. Since its initial launch new features and functionality have been added.

**Dissemination of Formal Agency Agreements with External Entities to the Public**

**National Archives and Records Administration (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 FY11, 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, the total number of EIS is 175, as well as 98 scheduled EIS, and the 23 pending EIS. Labor is in the initial stages of improving its communication channels with the IT programs. One of Labor’s upcoming events will be the IT/RM Workshop which plans to cover the importance of records management, relationship between IT and Records Management, scheduling an EIS, information about NARA’s Semi-Annual EIS Survey, and how to complete the SF 115.

**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 eSignature procedures.
On average, Labor transmits 15-25 submissions to the Federal Register each week using eSignature 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 FDMS system and Regulations.gov. The Department has also developed a new website, [http://www.dol.gov/regulations/](http://www.dol.gov/regulations/) 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. This new website also provides the public a live 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.

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

Through the preparation of the 2011-2016 Strategic Plan, Labor is developing performance measures for its agencies that meet the standard of measuring outcomes. Labor is moving toward developing such performance measure schemes for its worker protection agencies. While there is some expense and great effort required to implement these measures, Labor’s accountability to the public – to report the extent to which employers deliver on the rights and benefits guaranteed to the nation’s workers and to use its resources for strategies that achieve the greatest effect is vitally important.

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. The model facilitates the integration of customer and citizen needs and benefits while maintaining executive alignment with the President's agenda and Federal Transition Framework. Further, 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 drives the development of and ensures the successful execution of Labor's Annual Performance Plan.

**Reducing Errors through Electronic Submissions**

Labor continues to implement a Government Paperwork Elimination Act (GPEA) strategy to improve customer service delivery, support Labor’s Information Technology strategy of meeting near-term report requirements, reduce paper submission errors through the use of electronic submissions, and ensure integration into major management processes. Additionally, Labor continues to leverage technology to reduce errors and public burden. Some examples are as follows:

The United States Bureau of Labor Statistics’ (BLS) Internet Data Collection Facility provides an automated tool that simplifies the reporting from the Bureau's respondents.
The Employee Benefits Security Administration’s (EBSA) major pension and welfare plan filing system, referred to as EFAST2, provides 100 percent electronic filing for Form 5500 series returns/reports. EFAST2 significantly reduces the filing burden and processing time for filers compared with paper filing systems. By incorporating business logic and allowing filers to pre-validate filings for errors prior to submission, EFAST2 reduces filing errors and improves data quality. Paper-processing under the legacy system required the manual processing of all received filings, and sought to correct any filing errors through multiple rounds of correspondence. Paper processing was, therefore, subject to mail correspondence delays, data-capture error, human error, and correspondingly slow processing throughout. EFAST2 eliminates many of these delays and errors while dramatically increasing processing speeds. EFAST2 provides filers with real-time access to their filing status. EFAST2 also provides new capabilities for the public to access submitted and disclosable Form 5500 filings within one day of filing receipt. Filing data distribution took as many as 90 days under the legacy system.

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 web site. 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 (MSH) 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.

**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 (Department of Labor Manual Series, 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 FY12, 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.

The Department plans to continue trainings and outreach during FY12 to address project manager, developer and procurement 508 support needs and to ensure the Department’s preparedness to meet EO 13548, the upcoming Section 508 Refresh and the anticipated White House Section 508 Implementation plan for Federal Agencies. Additionally, working in partnership with Department’s procurement officials and staff to identify gaps where Section 508 compliance has not been fully achieved Labor will encourage Project Managers to include a Voluntary Product Accessibility Template (VPAT) as a deliverable in all IT contracts.

**Quantifying Cost Savings Achieved through Implementation of IT Programs**

Labor continually strives to position 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 costs avoidance through cost benefit 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.

The Department’s IT Infrastructure modernization program is an example of improving the Department’s spending efficiencies. Based on employee feedback in 2011, it was readily apparent that the current email services implemented across the Department were not meeting the needs of the employees. After analyzing options, it was in the best interest of Labor to pursue replacing its email system with a cloud-based email service. In May 2011, the Deputy Secretary announced Labor’s intent to pursue the migration of current email services to a cloud-based email service. In addition to providing enhanced value and improved productivity for Labor employees, Labor expects to obtain cost savings and cost avoidance when the procured cloud email service is compared to the costs of the current Labor email environment. These baseline costs are currently being developed. Requirements for this cloud email service were completed in FY11 and Labor is in the acquisition phase for transition and implementation during the second half of FY12.

**Department of State**

**Information Technology Strategic Plan and Enterprise Architecture Transition Plan**
Information Resources Management (IRM) Strategic Plan: [http://www.state.gov/m/irm/rls/c39428.htm](http://www.state.gov/m/irm/rls/c39428.htm).

Enterprise Architecture (EA) Plan: [http://www.state.gov/m/irm/](http://www.state.gov/m/irm/).

**Information Dissemination Management to the Public**
Final determinations, priorities, and schedules for each E-Gov initiative: [http://www.state.gov/m/a/ips/c32484.htm](http://www.state.gov/m/a/ips/c32484.htm).

Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to agency information by the public: [http://www.state.gov/m/irm/exhibit300s](http://www.state.gov/m/irm/exhibit300s).

- A list of the Department’s major capital information technology investments at: [http://www.state.gov/m/irm/exhibit300s](http://www.state.gov/m/irm/exhibit300s).
- A description of the Office of eDiplomacy’s programs at: [http://www.state.gov/m/irm/ediplomacy](http://www.state.gov/m/irm/ediplomacy).
- A list of Department 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](http://www.state.gov/m/a/ips/c24223.htm).
- A description of what kinds of personal information the Department of State maintains at: [http://www.state.gov/m/a/ips/c25533.htm](http://www.state.gov/m/a/ips/c25533.htm).
• The Department of State’s Records Disposition Schedules at: 
  http://www.state.gov/m/a/ips/c32492.htm.

**Freedom of Information Act (FOIA) Compliance**

FOIA handbook: http://www.state.gov/m/a/ips. The link to the Department's Information Access Guide (State’s FOIA Handbook) is found by clicking on the previous link, http://www.state.gov/m/a/ips, and then clicking on the first link on the left hand side, Information Access Guide. The Departments Information Access Guide includes guidelines for requesting information under the Privacy Act and for requesting Mandatory Declassification Review.

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.

Primary FOIA website: http://www.state.gov/m/a/ips.

Frequent requests for records are made available to the public at:
http://www.state.gov/m/a/ips/c22798.htm.

**Dissemination of Federal Research and Development (R&D) Funding to the Public**
The Department of State does not perform research and development (R&D) activities.

**Dissemination of Formal Agency Agreements with External Entities to the Public**
The Department of State, through the Bureau of Public Affairs, has entered into the following formal agreements that complement the Department’s information dissemination program. There is no link to these agreements because they are not posted on the Department’s public website:

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 the State Department 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 provides customer feedback on defined website components, such as content and site performance.
• 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.
• Hosted video content for the Department of State, providing an alternative means for the public to access critical information.
The Department of State successfully negotiated Terms of Service Agreements with vendors to host content on their respective social media platforms, expanding the Department’s presence where an increasing percentage of the general public accesses information.

The Department of State worked with industry so that timely country information and travel warnings for overseas travelers could be made available for download via mobile applications and programs. As a result, the Department’s first official smartphone-app, Smart Traveler was available for downloading in June 2011.

Arts in Embassies, [http://art.state.gov/default.aspx](http://art.state.gov/default.aspx), is the Department’s website promoting a public/private partnership that facilitates diplomacy by promoting temporary exhibitions and permanent collections, cultural exchange, and publications. More than 12,000 partners have joined State’s effort to make American art accessible. Through a Department agreement with Carnegie Mellon, led by the Bureau of Overseas Buildings Operations (OBO), an art in embassy artist registry is maintained at: [http://aiep.artistroster.org](http://aiep.artistroster.org).

Starting in August 2011, OBO began the process of taking over the support and hosting of the registry. The relationship with Carnegie Mellon is set to discontinue on January 1, 2012, at which time OBO/IM will fully support/host the site.

National Archives and Records Administration (NARA) - Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02
NARA-approved records schedules: [http://www.state.gov/m/a/ips/c32492.htm](http://www.state.gov/m/a/ips/c32492.htm).

**Implementation of Electronic Signatures for Interoperability**
The Department of State has implemented, and is using, a high-assurance Public Key Infrastructure (PKI) that provides a robust and easily accessed system for digitally signing documents. 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. The Department’s PKI enables signing of such diverse documentation as email, and documents generated using other word processing software. 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.

To ensure a high level of understanding, use, and acceptance of digital signatures among its employees, the Department of State 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. Due to the integrated nature of PKI within the Department, should an operational element within the Department choose to implement PKI as a solution for digital signature, no further technical assessment is required. This policy, entitled 5 FAM 140, Acceptability and Use of Electronic Signatures, is publicly available at:

- [http://www.state.gov/m/a/dir/regs/fam/05fam/5_100/index.htm](http://www.state.gov/m/a/dir/regs/fam/05fam/5_100/index.htm)
- [http://www.state.gov/documents/organization/156501.pdf](http://www.state.gov/documents/organization/156501.pdf)
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

In 2011, the Department’s centralized forms program, utilizing an electronic forms application (e-Forms), partnered with Program Offices in many activities that furthered the E-Government Act provisions and goals. E-Forms functionalities were expanded in order to produce process-integrated forms – forms that not only collect information but can share it with multiple users and make it directly available to applications. The Department is also piloting forms for mobile devices. Some key activities included:

- Created a form on the Internet that organizations worldwide use to express their interest in public-private partnerships with the Department. The collected information is moved to a back-end database for sharing, analysis and further processing. The Secretary of State uses this information in scheduling her visits around the world.
- Created a registration form and posted it in a cloud computing environment for interagency staffs, foreign governments and the public to use to register for a security conference. The form was designed for registrants to complete online and it contained an automatic address to transfer the registration information to a Diplomatic Security central mailbox and then move the information to a database for use. This form allowed participants, no matter where they were located in the world, to register.
- Created a form for Department staff to notify Diplomatic Security (DS) of any contact with Foreign Nationals. In the past, this information was manually entered (often incompletely) from a form into a classified DS application; now the information is filled out online and feeds to an application electronically. The data is used for counterintelligence activities.

Additionally, the Department of State has enhanced public participation and reduced errors through electronic processing of information:

- Program Offices submit documents to send to OMB in electronic format, avoiding transcription errors.
- Burden data provided to Office of Directives Management (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 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, which reduces human errors.
Electronic documents provided for public comment requests eliminate errors that could be associated with verbal/phone responses.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations
The Department provides information regarding information technology performance measures at [http://technology.performance.gov/agency/state/technology](http://technology.performance.gov/agency/state/technology) and describes how the Department links performance goals with other agencies at: [http://goals.performance.gov/agency/dosusaid](http://goals.performance.gov/agency/dosusaid).

From the first link, one can navigate to the Department’s performance measures for IT investments on the IT Dashboard ([http://it.usaspending.gov](http://it.usaspending.gov)) and from the second to information on the Department’s performance and its contributions to the Federal Government-wide initiatives. In addition, performance information is provided as part of the Department’s 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 at: [http://www.state.gov/s/d/rm/c6113.htm](http://www.state.gov/s/d/rm/c6113.htm).

Reducing Errors through Electronic Submissions
The Department of State has enhanced public participation and reduced errors through electronic processing of information as follows:

- Program Offices submit documents to send to OMB in electronic format, avoiding transcription errors.
- Burden data provided to 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 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 link to the Department’s IRM Program for Accessible Computer/communication Technology (IMPACT) is: [http://www.state.gov/m/irm/impact](http://www.state.gov/m/irm/impact).

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 bureaus’ Section 508 compliant EIT products such as software/web applications, online documents, video and multimedia products. All official forms created in the Department’s e-Forms application are 508 compliant.

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). IMPACT is a participant in collaborative events such as the Wounded Warrior Career Fair.

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
The Department’s IT programs are cost-effective initiatives that use open source technologies and COTS products whenever possible. The Department strives to ensure that these programs are incurring minimal outlays for hardware, software, labor, training, and travel costs.

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

Under the policy direction of the E-Gov PB, the Department manages 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 its business case and resource needs and is compared and evaluated with the other IT requests for funding. The Department’s major IT investments are evaluated under 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 the investments to the Department’s IT Dashboard, which is available to the public at: http://it.usaspending.gov.

The Department’s Enterprise Power Management, Data Center Consolidation, and the Overseas Server Virtualization Program are three excellent examples of cost avoidance achieved through IT programs.
**Enterprise Power Management:** The Department has implemented an Enterprise Power Management initiative encompassing all Department desktops, based on a phased approach. In July 2010, the Department approved 1E (a power management solution provider) for use on all Department networks and purchased 1E as its EPM solution to provide shutdown and wake-up services for all Department desktops. During the first quarter of FY11, the Department completed a pilot on a select group of IT desktops and expanded deployment to the entire enterprise. The deployment occurred in two stages: (1) the software image was deployed to a management server at each site, both domestically and at overseas posts; and (2) the Department’s central deployment team worked with a local administrator to push the power management agent to all local desktop systems. The Department completed the first stage of the deployment with 100 percent coverage of sites under Department management. EPM was deployed to 93 percent of the enterprise desktops by August 31, 2011 and full deployment is estimated to be achieved by Q1, FY12. The power management cost avoidance realized to date in FY11 as a result of the EPM initiative totals $863K.

**Data Center Consolidation Program:** The Department’s Data Center Consolidation Program is focused on consolidating the enterprise-level domestic data centers. The goals of this initiative are to reduce energy use, reduce server operating costs, limit long-term capital investments and increase efficiency in automation processes. To achieve these goals, the Department plans to consolidate domestic servers into four data centers by the end of 2015. Production servers of classification ‘Secret’ and below will be located in two Enterprise Server Operations Centers (ESOCs) – ESOC East and ESOC West – geographically separated and on separate power grids. Two other data centers in the Washington DC area will be repurposed: one for development systems and the other for higher classification systems.

ESOC East, now in full production, supports over 1,900 servers including 878 servers transitioned to ESOC East in 2010. The virtual infrastructure has been expanded to support over 1,000 virtual servers accounting for more than 54 percent of the total servers in the data center. ESOC West continues to make progress. Construction is nearing completion operational transition to the center is scheduled to begin in December 2011 with final turnover and acceptance for full operations in June 2012 as a Leadership in Energy and Environmental Design (LEED) Gold certified data center in June of 2012.

Server and service consolidation is occurring as an integral part of merging data centers. The Department is simultaneously pursuing cost avoidance and reduction through server virtualization, adoption of more efficient server hardware platforms, and standardization and automation of the processes used to support servers. The Department exceeded its FY11 target for Data Center server virtualization. The Department’s server virtualization target was 25 percent and the actual server virtualization was 30 percent. The target for FY12 is 40 percent.

The Department remained within the FY11 budget for Data Center Consolidation and exceeded its cost avoidance goals (i.e. estimated costs avoided exceeded the projected costs avoided). Cost avoidance was primarily achieved through virtualization. It is estimated that the Department saved $1.5M in FY11 by avoiding the hardware and power costs associated with the physical servers that did not have to be purchased or powered. State estimates that the Department will be able to reallocate over $5.8M per year once the transitions are complete and
steady state has been achieved at the ESOCs. It is also estimated that the Department avoided $156K in operational costs by having turned down data centers in FY11.

**Overseas Server Virtualization Program:** The Global Information Technology Modernization (GITM) Program is the enterprise-wide lifecycle replacement program for the Department’s IT infrastructure addressing both domestic and overseas sites. One aspect of the GITM program is the virtualization of the multiple IT infrastructure servers at overseas posts onto a local virtual infrastructure. Each post currently has roughly 20 physical servers that support the breadth of the Department’s IT infrastructure services as well as some local IT applications. The combined overseas “distributed server farm” comprises over 2,300 servers. These servers will be replaced by a virtual infrastructure that will consolidate all servers onto an integrated two-server platform. That effort will take a minimum of four years, which is the average life cycle to refresh all posts worldwide.

The Department began the overseas server consolidation effort in the spring of 2009 by conducting proof of concepts at U.S. Embassy Managua and the IRM Regional Information Management Center, Ft. Lauderdale, Florida. In August 2010, based on the results achieved during the proof of concept pilots, the Department returned to both sites to perform full production virtualization pilots. The full production pilots were remarkably stable and as a result, two additional pilots were scheduled for the U.S. Embassies in Nairobi and Geneva. In 2011, the Department completed an unclassified server virtualization pilot in Nairobi and went into production and completed both classified and unclassified installations in Geneva. With the completion of the proof of concepts at these pilot locations, the Department is planning to begin server virtualization deployment in Quarter 1, FY12.

The savings and efficiencies from overseas server consolidation will include reduction in power consumption (direct for equipment, indirect by way of less cooling required), and less rack space. In addition there will be savings in the hardware, particularly where the Department can virtualize some of the additional physical servers that posts have been adding, with little change to the virtual infrastructure. The other major benefit from virtualization will be improved remote monitoring and administration, which will reduce the excessive workload on local IT staff. On average, the Department expects to reduce the physical footprint at each location by more than 50 percent with energy savings of up to 30 percent at each location.

**Department of the Interior**

**Information Technology Strategic Plan and Enterprise Architecture Transition Plan**


Enterprise Architecture (EA) Plan: [http://www.doi.gov/ocio/](http://www.doi.gov/ocio/). The Department of the Interior’s (Interior) EA Transition Plan (ETP) will be provided to OMB on March 1, 2012. The IT Transformation Strategic Plan, which marks a major directional shift in IT management at Interior, was accepted by OMB as Interior’s interim ETP.
Information Dissemination Management to the Public
Final determinations, priorities, and schedules for each E-Gov initiative:
http://www.doi.gov/notices_soc.cfm. (Interior’s Schedule of Content)

Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to agency information by the public:

Freedom of Information Act (FOIA) Compliance

Primary FOIA website: http://www.doi.gov/foia/.

Frequent requests for records are made available to the public at:

Dissemination of Federal Research and Development (R&D) Funding to the Public
Public websites disseminating research and development (R&D) information to the public:
- http://search.usa.gov/search?utf8=%E2%9C%93&sc=0&query=%27research+and+development%22&locale=en&m=&embedded=&affiliate=doi.gov&filter=moderate&commit=Search

Dissemination of Formal Agency Agreements with External Entities to the Public
Inventory describing formal agency agreements) with external entities:
- www.usaspending.gov (search DOI)

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

Implementation of Electronic Signatures for Interoperability
In 2010, Interior inventoried public facing applications and determined that there were no appropriate uses for digital signatures to secure electronic transactions. As of September 30, 2011, Interior issued Federal Information Processing Standard (FIPS) 201 Personal Identity Verification (PIV) cards with digital signature certificates to over 90 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
For FY11, the Department of the Interior used Regulations.gov to publish 1,016 notices, 205 proposed and final rules, and numerous supporting documents. Interior received several thousands of comments on these publications through the site. The community interested in Interior’s activities is extremely large and diverse. This community benefited through public submissions to the Regulations.Gov website and through Interior’s management of these submissions using the Federal Docket Management System (FDMS).
The eRulemaking Initiative outcome for Interior and the other partner agencies include the items below.

- Substantially improved usability for agencies and the public with more improvements pending.
- Growing public and agency usage. Visits to and comments submitted through Regulations.Gov continue to climb and agencies continue to increase their use of FDMS.

Interior provides improved service to the public through an easier and more efficient commenting process using FDMS.

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

Highlights of accomplishments are listed below:

- Implemented a digital sign-in feature with the HSPD12 smart card for remote access: The implementation extends to workstations and mobile devices, including Macintosh devices. In 2012, this implementation will be extended to digital signing and user login to office automation devices. This implementation has reduced workloads by enabling a single authentication source for those staff working remotely. The smart card is an efficient device for enabling the user to connect, use, and get information.
- Implemented a document repository using a collaboration tool, with authentication against Active Directory: This data store will reduce the amount of duplicate places files and documents reside and reduce authentication mechanisms. Document movement, access, and updates can be tracked digitally and stored for future reference.
- Implemented an automated inventory system for mobile devices: mobile devices are now tracked in a mobile device management system, with inventory and security compliance. The USGS has seen the rise of these devices for scientific investigation and enabling an asset inventory system will greatly reduce the methods of inventory in an automated means.

The accomplishments described above are examples of Interior’s commitment to improve the delivery of information technology. This commitment is also explained in the IT Transformation Strategic Plan.

**Reducing Errors through Electronic Submissions**

Interior has reduced errors through the use and participation in public facing initiatives and other structured data formatting tools. Data validation is required for the use of these tools. The initiatives that provide the most direct benefit to the citizens are:

- [http://americasgreatoutdoors.gov/](http://americasgreatoutdoors.gov/)
- [www.benefits.gov](http://www.benefits.gov)
- [www.geoplatform.gov](http://www.geoplatform.gov)
- [www.grants.gov](http://www.grants.gov)
- [www.recreation.gov](http://www.recreation.gov)
- [www.regulations.gov](http://www.regulations.gov)
- [www.usajobs.gov](http://www.usajobs.gov)
The cost to upgrade and maintain these solutions are shared with Agencies across the Government. This minimizes redundancy, increases the efficiency and optimizes the economies of scale. The outcome of the E-Gov initiatives is not only consistent with the President’s Campaign to Cut Waste but Interior’s IT Transformation.

Efforts to Comply with Section 508 Regarding Information Management

Training: 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.

Web Presence: Interior ensures that its’ websites comply with the Access Board Standard’s technical provisions. Bureau and Office public Web pages are currently being scanned with the HiSoftware Compliance Sheriff software.

Bureaus/Offices are posting procurement solicitations on Federal Business Opportunities (FedBizOpps), which include applicable Section 508 standards: This is the official, on-line registrant database for the U.S. Federal Government. The Central Contractor Registration (CCR) collects, validates, stores and disseminates data on prospective vendors in support of agency acquisition and award missions. CCR validates the registrant information electronically.

Quantifying Cost Savings Achieved through Implementation of IT Programs

Interior is undertaking a major initiative, known as the “IT Transformation”. This initiative will change the way information technology is managed and offered throughout Interior.

Interior was challenged to develop a plan to realign IT infrastructure and compliance functions under a single CIO. Interior met that challenge in June 2011. This is a self-funded initiative, meaning savings captured are to be reinvested into next phases of transformation. $500M dollars are expected to be saved from 2016 – 2020.

Each Interior Bureau and most Offices had CIOs. They are now called Assistant Directors of Information Resources (ADIRs). The ADIRs meet with the OCIO management team on a regular basis as part of a new governance structure for Interior’s IT infrastructure, and together, prepared the IT Transformation Strategic Plan. Seven out of twenty-eight initiatives have been prioritized as key opportunities to embrace on an enterprise level to enable optimal efficiency and cost savings. They are:

- A single email system for Interior
- Telecommunications
- Account management
- Hosting services
- Workplace computing services
- Risk management
- Enterprise service desk (help desk)

Interior has approximately 4 years to transform IT. A detailed implementation plan will be delivered to the Secretary by December 31, 2011. Performance metrics are being put in place to
monitor Interior’s progress in improving employee productivity through technology, consolidating the IT infrastructure and reducing duplication and costs.

**Department of the Treasury**

**Information Technology Strategic Plan and Enterprise Architecture Transition Plan**
Information Resources Management (IRM) Strategic Plan: Given the opportunities available for cloud and shared services, the Department is reviewing its existing enterprise plans and associated methodologies such that it can take advantage of these opportunities to improve coordination and adherence to the Office of Management and Budget’s (OMB) directions, Agency goals, and Bureau plans. In the case of the IRM Strategic Plan, the current version includes pre-decisional information and it is not available on Treasury’s public website.


**Information Dissemination Management to the Public**
Final determinations, priorities, and schedules for each E-Gov initiative: [http://www.treasury.gov/SitePolicies/Pages/web-inventory.aspx](http://www.treasury.gov/SitePolicies/Pages/web-inventory.aspx). The Department examines citizen feedback through emails. The Department analyzes the responses from its customer satisfaction survey questions to determine what information, if any, is missing from the public website. In addition, a regular review of the search engine metrics takes place to determine frequently searched words and phrases. The result of this analysis leads to adjustments in the provided information. The schedule for posting of web content and a comment form are available on the Department’s principal public website at [http://www.treasury.gov/SitePolicies/Pages/web-inventory.aspx](http://www.treasury.gov/SitePolicies/Pages/web-inventory.aspx).

Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to agency information by the public: The website [http://www.treasury.gov](http://www.treasury.gov) also enables customers to subscribe and to receive email alerts upon site updates (GovDelivery). After customers subscribe to receive information on [http://www.treasury.gov](http://www.treasury.gov), the Department presents subscribers with information from Treasury Department bureaus to which they can also subscribe. Press Releases and several other types of information are also available via RSS feeds.

**Freedom of Information Act (FOIA) Compliance**
FOIA handbook: [http://www.treasury.gov/FOIA/Documents/FOIA%20Handbook%20rev%202010.15.pdf](http://www.treasury.gov/FOIA/Documents/FOIA%20Handbook%20rev%202010.15.pdf). The Department's policy is to implement FOIA uniformly and consistently, and to provide the maximum allowable disclosure of records. Anyone can request access to Department of the Treasury records; if the requester follows the rules for making a FOIA request, the records will be disclosed unless they are appropriately protected from disclosure by one or more of nine
exemptions, or by one of the three law enforcement record exclusions contained in the FOIA statute.

Primary FOIA website: [http://www.treasury.gov/foia/Pages/index.aspx](http://www.treasury.gov/foia/Pages/index.aspx). Through Treasury’s Enterprise Content Management (ECM) goFOIA initiative, was released in April 30, 2011, for citizens to post online requests: [https://www.onlinefoia.treasury.gov/](https://www.onlinefoia.treasury.gov/). To augment the President’s emphasis on openness and transparency in Government, FOIA enables citizens to access governmental records and establishes a citizen-centered process to efficiently meet the public’s demand for timely information. Last year, the Department of the Treasury reviewed the available technologies and selected a three-pronged solution, resulting in increased efficiencies and greater transparency of information balanced with the protection of non-releasable information.

Frequent requests for records are made available to the public at: [http://www.treasury.gov/FOIA/Pages/reading_room.aspx](http://www.treasury.gov/FOIA/Pages/reading_room.aspx). Prong 1 focuses on the public by allowing online submissions of FOIA requests, Prong 2 is comprised of a cloud tracking solution to manage the requests and citizens information, and Prong 3 addresses the myriad of documents involved in responding to a FOIA request through the use of a collaborative document management system. The tools were selected because they provided improvements for both the public and Treasury personnel that process requests, were cost effective, and allowed for quick implementation. Together the selected tools are known as goFOIA. The public access, tracking, and reporting pieces are hosted in the cloud. This allows for flexible access and the ability for other agencies to leverage Treasury’s investment in building a secure private cloud for this functionality. To date, one other agency has joined the Treasury cloud, and a second agency is starting the process to join.

**Dissemination of Federal Research and Development (R&D) Funding to the Public**
Public websites disseminating research and development (R&D) information to the public: The Department does not fund R&D Activities

**Dissemination of Formal Agency Agreements with External Entities to the Public**

The Department has a number of means to disseminate Government information to the public. Among these are:

**Computer Matching Agreements:** The Treasury Data Integrity Board, approves matching agreements that are subject to the Privacy Act between the Treasury Bureaus and Offices and other Federal, State, Local, and Tribal governments to share taxpayer’s personal information when disclosure is authorized by law to obtain a benefit or service or to collect a Federal debt.

There are also memoranda of understanding for disclosing federal tax information when authorized by title 26 of the United States Code.
The Department also provides information as authorized by law to persons submitting Privacy Act requests for Privacy Act records retrieved by an identifier for them.

Transmission of any sensitive information complies with the NIST security standards for the kind of personally identifiable information involved.

Memorandum of Agreement (MOA) Community Development Financial Institutions (CDFI) Fund has a MOA with the Alcohol and Tobacco Tax and Trade Bureau for hosting the CDFI Fund website server. Contractual Services CDFI has a contract with International Business Machines to provide support for the update of the CDFIFund.gov public facing website that disseminates information to the public. Department of the Treasury Library has a partnership with the Library of Congress to digitize historical Treasury Department materials and make reports and documents publicly available on the Internet.

National Archives and Records Administration (NARA) - Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02
NARA-approved records schedules: http://www.archives.gov/records-mgmt/rcs/schedules/index.html?dir=3D/departments/department-of-the-treasury. While the Department did not have any additional electronic systems to schedule in FY11, the Department will continue to schedule newly identified electronic systems on an ongoing basis. Upon identification, the Department evaluates and schedules these systems at the bureau-level. The Department developed an Electronic Records Retention schedule and consolidated disparate electronic systems lists into a centralized spreadsheet utilized for tracking. The Department has provided public access to the information that identifies the disposition authorities for the 1,265 electronic systems. In FY11, the Department allocated considerable resources to bring the Department into compliance with NARA Bulletin 2006-02 initiatives. There were 1,265 major and minor electronic recordkeeping systems Department-wide at the close of the FY11. The Department has approved all systems for disposition or submitted schedules to NARA for approval.

Implementation of Electronic Signatures for Interoperability
Beginning in the second quarter of FY11, the Departmental Clearance Staff, for the Information Collection Program under the Paperwork Reduction Act (PRA), began to use digital signatures to transmit the 30-day Federal Register Notices (FRNs) to the Government Printing Office (GPO) to publish for public comments. The Department of Treasury has been successful in the transmission of digitally-signed documents to GPO through the Federal Bridge Certification Authority. Using PIV card readers, ActivClient Middleware, and PKCS#7 software, the FRNs documents passed GPO’s tests. Treasury collaborated with GPO for enrollment under the Office of the Federal Register, and obtained an Agency ID (343) for the Department. In the fourth quarter of FY11, the Office of the Chief Information Officer (OCIO) met with bureau program and clearance officers to introduce them to the electronic FRN project, determine hardware and software profiles, and explain the processes required to implement this project Treasury-wide.

Electronic Means of Enhancing Public Participation in Government
The Department is using a collaboration tool to increase public participation in the Department’s Paperwork Reduction Act (PRA) information collection program. The tool, www.PRAComment.gov, is used to solicit comments on any forms or information collections
used by the public in response to the PRA. The Department of Treasury accounts for 77 percent of the paperwork burden placed on the public, and the majority of this burden is attributable to information gathering required by the tax code. While the statute requires that public notice must be published through the Federal Register (FR) process, research of randomly selected information collection documentation indicates that the Department receives few, if any, comments from the public via the FR process. With this introduction of PRA Comment, public comments have been received, and the Treasury OCIO is developing a marketing campaign in FY12 to increase public participation in commenting on the Department’s 1,200 information collections (ICs) as a means of soliciting input on ways to reduce paperwork burden on the public.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations
The Department 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 of 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) it is 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).

The Treasury Secretary’s Paperless strategic goal embodies the goals of the E-Gov Act. The following are indicative of the Department’s IT portfolio investments that support Treasury’s Paperless Initiative:

The Bureau of the Public Debt (BPD) manages the Retail Securities Services Program, which exists to enable private citizens and organizations to directly own and maintain U.S. Treasury securities. BPD’s Retail Securities Services (RSS) investment supports this mission through various IT systems, such as TreasuryDirect, SaBRe, and Treasury Retail E-Services, to deliver effective retail customer service and products. TreasuryDirect enables investors to set up accounts online, purchase savings bonds and marketable securities in electronic form, and self-
Financial Management Service’s (FMS) Internet Payment Platform (IPP) provides a centralized electronic invoicing and payment information portal accessible to all participants in Federal payment transactions: agencies, payment recipients, and FMS. The IPP enables the presentation of electronic orders, receipt of electronic invoices, automated routing and approval (workflow), electronic notifications, and treasury payment information. The IPP is designed to yield Government-wide efficiencies by: (1) reducing or eliminating paper-based processing by accounts payable; (2) enhancing Treasury's value and service to its citizens by increasing access to, and the quality of, payment data; and (3) providing a single, central application in which Government finance departments can engage with their suppliers, and in which Government suppliers can engage with agencies. Use of IPP is estimated to reduce costs by $450 million government-wide. The Department of the Treasury announced that it is mandating that all Treasury Bureaus implement IPP by the end of FY12. Additionally, in FY13, Treasury will require that its commercial vendors submit their invoices using IPP.

IRS’ Modernized e-file (MeF) Program supports the Treasury and IRS strategic goals by effectively and efficiently using resources to optimize return filing, expand E-Government, and reduce taxpayer burden. MeF has developed a secure, web-based platform for filing tax and information returns electronically by registered Electronic Return Originators (ERO). This system uses a browser-based and application-to-application solution to provide ERO end users with optimized return filing by reducing the reporting burden on business and providing inter-agency use through use of Excise Tax E-File and Compliance (ETEC) process, and includes a data store and application supporting compliance activities by automating the sharing of authorized payment verification information with state vehicle registration offices. During the January - June 2011 timeframe, nearly 21M returns were submitted and over 16.4M were accepted.

**Reducing Errors through Electronic Submissions**
The Department launched its Open Government webpage at [http://www.treasury.gov/open/Pages/default.aspx](http://www.treasury.gov/open/Pages/default.aspx) in 2010. This webpage contains a wealth of information regarding the Department’s open government efforts, including links to the FOIA reading room, various bureaus’ records and reports, records schedules, Congressional testimony, and frequently updated information on the various opportunities for public engagement and participation with the Department.

The Department 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/](http://treasurydirect.gov/).

The Department has a solid portfolio of E-Government initiatives, including TreasuryDirect, the Federal Student Aid-Datashare, as well as citizen services with the aim to reduce cost, improve access to information, reduce data entry errors, and reduce the impact on the environment. The citizen services includes OCC provided direct links to find public information about individual

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 increased access and transparency of existing services, and increased collaboration with internal partners, external partners, and consumers. The Department continually engages consumers and other stakeholders to identify how technologies and services may best improve the Department’s operations.

Efforts to Comply with Section 508 Regarding Information Management
Treasury is engaged in the White House Monthly Call on Disability, the Federal CIO Council Accessibility Committee, and the GSA Agency Section 508 Coordinators efforts to improve the Department’s compliance with Section 508. The Department has three key initiatives for improvement. The first, to ensure that persons with disabilities have access to and use of information and data on the Department’s public website, the OCIO is upgrading its current application, HiSoftware Compliance Sheriff accessibility tool, for enhanced capabilities and robust scanning of Treasury’s public websites. Second, the Department will implement the approved exception to the Federal Desktop Core Configuration to test Treasury’s intranet sites and applications to ensure that Treasury employees with disabilities can access and use information to be productive. Third, Treasury is in the process of revising its accessibility program management policy to supplement the Electronic and Information Technology (EIT) policy directive, http://www.treasury.gov/about/role-of-treasury/orders-directives/Pages/td87-06.aspx.

Quantifying Cost Savings Achieved through Implementation of IT Programs
The Department projects MeF to return nearly $1.5B in benefits through its life cycle.

As of March 27, 2011, for the processing year 2011 (tax year 2010), the volume of electronic returns filed through MeF reduced processing costs by over $8.022M when compared to the cost to process them as paper; each tax return received electronically and processed saves $2. From January 2011 through June 2011, nearly 21M returns were submitted and over 16.4M were accepted. 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 in 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.
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 Transportation**

**Information Technology Strategic Plan and Enterprise Architecture Transition Plan**


**Information Dissemination Management to the Public**
The Department of Transportation (DOT) will continue to support E-Gov managing partners as needed in the prioritization and execution of initiative goals and activities.

Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to agency information by the public: [http://www.dot.gov/webpublishing.htm](http://www.dot.gov/webpublishing.htm), [http://www.dot.gov/open/](http://www.dot.gov/open/).

**Freedom of Information Act (FOIA) Compliance**


Public websites disseminating research and development (R&D) information to the public, describing for each whether the website provides the public information about Federally funded R&D activities and/or provides the results of Federal research:

- FAA: [http://www.faa.gov/data_research/research/](http://www.faa.gov/data_research/research/)
- FMCSA Analysis, Research & Technology: [http://www.fmcsa.dot.gov/facts-research/art.htm](http://www.fmcsa.dot.gov/facts-research/art.htm)
- FRA Research & Development: [http://www.fra.dot.gov/us/content/32](http://www.fra.dot.gov/us/content/32)
Each of the R&D Information Posting and CRP sites contains an overview of the various research programs within the DOT's OAs. Where grant opportunities are available, information is posted. DOT’s grant opportunities are also noticed through Grants.gov. 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.

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

Frequent requests for records are made available to the public at:

- FRA: [http://www.fra.dot.gov/Pages/951.shtml](http://www.fra.dot.gov/Pages/951.shtml)
- NHTSA: [http://www.nhtsa.gov/About+NHTSA/NHTSA+Electronic+Reading+Room+(ERR)](http://www.nhtsa.gov/About+NHTSA/NHTSA+Electronic+Reading+Room+(ERR))

**Dissemination of Formal Agency Agreements with External Entities to the Public**

Inventory of formal agency agreements with external entities: DOT has Memorandums of Agreement (MOA) with several agencies:

- With the National Science Foundation (NSF) to support the Grants Management Line of Business Program Management Office (GM LoB/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 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: [www.regulations.gov](http://www.regulations.gov).
The FHWA has a signed MOU with Interior for FHWA’s Byways Program that links to Recreation One Stop, located at: [http://www.recreation.gov](http://www.recreation.gov).

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 (link is: [http://ntlsearch.bts.gov/tris/index.do](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 Interior to participate in the Geospatial LoB and share DOT-related information through the Geospatial One Stop (GOS) site, located at: [http://www.geodata.gov](http://www.geodata.gov).

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 ([www.greatlakes-seaway.com](http://www.greatlakes-seaway.com)) that is linked to [www.seaway.dot.gov](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.

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


**Implementation of Electronic Signatures for Interoperability**

DOT is continuing to refine and implement its Identity, Credential, and Access Management (ICAM) program to better secure the authentication and access to DOT systems and applications. Specifically, DOT’s IT security will be improved 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 as well as use the digital signature features of other word processing software.

**Electronic Means of Enhancing Public Participation in Government**

DOT has a memorandum of understanding (MOU) with the Environmental Protection Agency (EPA) to participate in the Federal Docket Management System (FDMS) at [http://www.regulations.gov](http://www.regulations.gov), which hosts the official dockets for all DOT rulemakings and adjudicatory matters. DOT also promotes public participation in the rulemaking process via the Regulation Room, a pilot project at [http://regulationroom.org](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. The DOT’s current set of outcomes are:

- Safety
- State of Good Repair/Infrastructure
- Economic Competitiveness
- Livable Communities
- Environmental Sustainability
- 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.

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 has developed an IT Vital Signs reporting tool. This tool tracks the DOT's Operating Administrations' performance in several key areas including cybersecurity and information assurance, IT investment management, and major enterprise IT initiative support. On a quarterly basis the leading indicators tool examines these 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**
Federal Transit Administration offers specialized training to all employees on how to make documents 508 compliant. The training is available to all DOT employees and gives detailed instructions on how to assess and convert various types of media into 508 compliant media.

Pipelines and Hazardous Materials Safety Administration is restructuring their systems and content for use by assistive technologies has multiple benefits beyond simply meeting mandates:

- They value their constituency and desire to have their work available to all interested citizens. They recognize that accessibly designed systems are typically easier for non-experts to use.
- They believe that having their site structured for assistive technologies positions them well for wireless and other specialized access devices.

DOT Office of the Secretary, Disability Resource Center has an IT Directives Review process that Section 508 practitioners, whether or not they have a similar agency review process, can draw from. The CIO Office uses a formalized process to develop, review, approve and disseminate agency IT policies.
Quantifying Cost Savings Achieved through Implementation of IT Programs
The DOT Operating Administrations have been performing many data center consolidation, virtualization, and application redundancy cleanup activities in an effort to realize true cost savings. A few of these efforts are highlighted below:

The Federal Aviation Administration (FAA) is implementing data center consolidation per DOT FDCCI plans reported to OMB. FAA had planned to have four data center spaces closed by the end of FY11, however, based on the most recent information available, only two centers are planned for closure by the fourth quarter of 2012, fifteen additional are under consideration for closure, and three will be in Stage 1 of the closure procedure. Cost savings and cost avoidance will occur as the centers are closed in FY12. While the FAA has not yet finalized targets for CY13-CY15, the aforementioned consolidations account for approximately $4.7M in cost savings, and in addition, the FAA saves approximately $4.5M per year with server consolidation/virtualization activities.

Since FY09, the Federal motor Carrier Safety Administration (FMCSA) has utilized VMware technology to migrate physical servers into the Volpe hybrid cloud and is currently saving approximately $397,800 annually. In FY12, approximately 24 additional servers are slated for migration into the hybrid cloud at Volpe, which would add an additional $81,600 to the current annual savings estimate. FMCSA will also work with developers to migrate seven Sun Solaris systems into the Linux virtual environment. Additional annual savings from that effort will be $24,000. FHWA has been working with program and project managers and system owners to optimize their portfolio. The OA has been evaluating investments to determine if they are duplicative, or if they could be merged or replaced by a shared service agreement within or outside the Agency. Recent IT applications that were identified as duplicative and were either merged or eliminated because shared services with another application could be applied have produced an estimated annual savings of $600,000.

Department of Veterans Affairs

Information Technology Strategic Plan and Enterprise Architecture Transition Plan
Information Resources Management (IRM) Strategic Plan: http://www.itstrategy.oit.va.gov/


Information Dissemination Management to the Public
Final determinations, priorities, and schedules for each E-Gov initiative:

Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to agency information by the public: The Department of Veterans Affairs’ (VA) 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 VAs 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.
Freedom of Information Act (FOIA) Compliance


Frequent requests for records are made available to the public at: http://www.foia.va.gov.

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

VAs public websites to disseminate research and development information to the public are located at: http://www.research.va.gov and http://www.cider.research.va.gov/.

Dissemination of Formal Agency Agreements with External Entities to the Public
Inventory of formal agency agreements with external entities: http://www.va.gov/advisory.

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

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

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.
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://www.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

Improved Performance in Support of Agency Objectives and Strategic Goals


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

VA advanced conformance training, design planning, and remediation of the Secretary’s 16 Major Initiatives. VA increased resourcing to participate in 25 integrated project teams to influence design for Section 508 compliance. VA trained over 500 VA personnel on Section 508 for documentation, collaboration tools, and multimedia through efforts with the Governance Board and VA’s IT Workforce Development Office.

VA initiated two projects conformance on VA’s a collaboration tool and VA’s Internet/Intranet series of Hypertext Markup Language (HTML) sites. Metrics rating 56 servers indicated a need for accessibility and privacy governance in the collaboration tool environment and VA continued to remediate the collaboration tool environments with a governance board for oversight of these remediation efforts. VA awarded a contract for compliance on HTML sites, beginning a 3 year effort to analyze all VA’s Internet and Intranet sites and to apply governance rules to maintain compliance. An added capability that VA will be able to demonstrate to the rest of the Federal Government is the ability of its HTML tool to make social media content and sites accessible to disabled users.
VA created vendor licensing agreements to distribute tools software developers use to test for conformance prior to deployment; and screen and document processing tools for disabled employees. VA worked with various developers in their introduction of and software development for mobile devices to accessibility requirements. VA began development of design standards to include accessibility for mobile devices.

**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). This rapid delivery approach is used extensively in the private sector to ensure IT projects deliver. VA combined rapid delivery with a management methodology that enforces strict adherence to project milestones. Before PMAS, development projects at VA met their milestone dates an estimated 30 percent of the time. In 2011, they are meeting their project milestones over 80 percent of the time with a cost avoidance of $14M.

**Environmental Protection Agency**

**Information Technology Strategic Plan and Enterprise Architecture Transition Plan**

Information Resources Management (IRM) Strategic Plan: The Environmental Protection Agency (EPA) has made significant progress in developing its IT strategic plan, which is currently under internal review. The plan will be completed in FY12, and will focus initially on a more comprehensive approach to portfolio management. The plan also includes an approach for 1) improving delivery of employee services; 2) driving innovative technologies and processes; and, 3) enhancing cybersecurity. At the same time, EPA has implemented improvements in these areas, to meet evolving needs and challenges.


**Information Dissemination Management to the Public**

Final determinations, priorities, and schedules for each E-Gov initiative: [www.Regulations.gov](http://www.Regulations.gov), [www.epa.gov/open](http://www.epa.gov/open).

**E-Travel:** Through a combination of advantageous TMC pricing and a substantially higher degree of OBE usage (81 percent), EPA is expected to save over $400,000 in travel management service fees for reservations in FY11 when compared to pre-ETS pricing and online usage. EPA continues to process vouchers through the E-Travel Service (ETS) and is expected to process over 68,000 vouchers in FY11. Geospatial LoB. Advantageous pricing from the General Services Administration’s (GSA) Smart Buy enables EPA to expand its usage of geospatial software to better meet business needs with a much lower annual increase than is possible without SmartBuy licenses. As an example of this savings, EPA estimates the Agency saves over $2M per year as compared to the street value of commercial geospatial software and data.

**BFE LoB:** The Budget Formulation and Execution Line of Business (BFE LoB) provides EPA with access to budget-related expertise, tools and services. EPA has benefited through the information sharing from other agencies on the various budget systems and software being
utilized across the government. This effort has created a government only capability for
electronic collaboration (Wiki) through the Budget Community website which allows EPA to
share budget information with OMB (as well as other Federal agencies). The BFE LoB will also
provide EPA with increased analytical and reporting capability through the ongoing systems
development, such as MAX Analytics. The BFE LoB provides budget-related training to EPA
budget staff related OMB’s MAX budget system and Treasury’s FACTS II statements.

**FM LoB:** The Financial Management Line of Business (FM LoB) provides the EPA with
standards, requirements, tools, and services to support EPAs financial management activities.
EPA benefitted from information sharing across the Federal community on standards and best
practices in implementing financial systems based on commercial software products used across
Government. In FY12, EPA implemented Compass, a new financial system that replaces EPAs
22 year old legacy system. Compass is based upon Momentum, a Commercial-Off-The-Shelf
(COTS) software. The system is a web-based, cloud-ready, open architecture application.

**GM LoB:** In FY10, EPA completed detailed Fit/Gap analyses of HHS Grants Solutions system
and the Compusearch product Prism Grants. In addition, the Agency completed a cost benefit
and alternatives analysis to determine the best GM LoB solution. Based on the findings and the
projected cost of implementation, senior management decided to postpone selection of a GM
LoB alternative until the Agency reexamined its grants process through business process re-
engineering and until GM LoB implementation could be sequenced appropriately within an
administrative system overhaul including the contracts, finance, human resource, and grants
systems.

Information dissemination product catalogs, directories, inventories, and any other management
tools used to improve the dissemination of and access to information by the public:

- http://www.epa.gov/aboutepa/index.html
- http://www.epa.gov/epahome/comments.htm
- http://www.epa.gov/newsroom/
- http://www.epa.gov/gateway/learn/
- http://www.epa.gov/lawsregs/
- http://www.epa.gov/epahome/accessibility.htm
- http://www.epa.gov/epahome/faq.htm
- http://www.epa.gov/epahome/resource.htm
- http://www.epa.gov/epahome/topics.htm
- http://www.epa.gov/planandbudget/
- http://www.epa.gov/epahome/grants.htm
- http://www.data.gov
- http://www.epa.gov/datafinder/

**Freedom of Information Act (FOIA) Compliance**  

Primary FOIA website: http://epa.gov/foia/.
Frequent requests for records are made available to the public at:  

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

Public websites disseminating research and development (R&D) information to the public:

- [http://www.epa.gov/research](http://www.epa.gov/research)
- [http://www.epa.gov/hcer](http://www.epa.gov/hcer)
- [http://www.epa.gov.gateway/science](http://www.epa.gov.gateway/science)

**Dissemination of Formal Agency Agreements with External Entities to the Public**

Inventory of formal agency agreements with external entities:

- [http://www.epa.gov/tri/stakeholders/state/state_exchange/index.htm](http://www.epa.gov/tri/stakeholders/state/state_exchange/index.htm)
- [http://explore.data.gov/catalog/raw/?Dataset-summary_Agency=Environmental+Protection+Agency](http://explore.data.gov/catalog/raw/?Dataset-summary_Agency=Environmental+Protection+Agency)
- [http://www.loc.gov/flicc/](http://www.loc.gov/flicc/)
- [http://www.epa.gov/agstar/index.html](http://www.epa.gov/agstar/index.html)
- [http://www.epa.gov/asmdnerl/](http://www.epa.gov/asmdnerl/)
- [www.noattacks.org](http://www.noattacks.org)
- [http://www.epa.gov/otaq/bwc.htm](http://www.epa.gov/otaq/bwc.htm)
- [http://binational.net/index.html](http://binational.net/index.html)
- [www.chesapeakebay.net](http://www.chesapeakebay.net)
- [www.epat.net; www.energystar.gov](http://www.epat.net; www.energystar.gov)
- [http://www.exchanget network.net](http://www.exchanget network.net)
- [http://www.frtr.gov](http://www.frtr.gov)
- [www.greensuppliers.gov](http://www.greensuppliers.gov)
- [http://www.mnrg.gov](http://www.mnrg.gov)
- [http://www.epa.gov/waterspace/](http://www.epa.gov/waterspace/)
- [http://www.epa.gov/oppfead1/international/naftatwg/](http://www.epa.gov/oppfead1/international/naftatwg/)
- [http://schoolipm.ifas.ufl.edu/](http://schoolipm.ifas.ufl.edu/)
- [http://npic.orst.edu](http://npic.orst.edu)
- [http://www.epa.gov/gasstar/index.htm](http://www.epa.gov/gasstar/index.htm)
- [http://www.northeastdiesel.org/](http://www.northeastdiesel.org/)
- [http://www.epa.gov/tri/stakeholders/state/state_exchange/index.htm](http://www.epa.gov/tri/stakeholders/state/state_exchange/index.htm)

The Toxics Release Inventory (TRI) Data Exchange is a collaborative effort among states and EPA to provide real-time access to higher quality TRI data while saving time and resources. The TRI Data Exchange uses EPA's Central Data Exchange to automatically send copies of electronic TRI submissions to participating states and territories. Presently, 42 states have established formal agreements with EPA to receive data through TRI Data Exchange, and more are expected to join the program in the coming months.
EPA has extensively leveraged Data.gov in order to help community action groups and citizens hold informed discussions about environmental issues at local and regional levels. EPA's total contributions to Data.gov include 1,602 raw data sets, 258 geo data sets, and 65 applications or tools. EPA is routinely cited as the greatest contributor of data sets to Data.gov.

AgSTAR Program: [http://www.epa.gov/agstar/index.html](http://www.epa.gov/agstar/index.html). Each agreement improves the access to and dissemination of Government information to the public in order to help achieve EPA’s mission by combining its expertise with that of partners to reach additional audiences.

FLICC/FEDLINK: [http://www.loc.gov/flicc/](http://www.loc.gov/flicc/). Through Interagency Agreements with FLICC/FEDLINK at the Library of Congress, EPA National Library Network libraries are members of OCLC Online Computer Library Center (OCLC). OCLC is a 42 year-old cooperative community of over 72,000 libraries in 170 countries. Through OCLC services, libraries, archives, and museums across the globe share their unique resources through a Web-scale infrastructure. This service facilitates access for the public to Agency resources and sharing of library collections by including bibliographic records of EPA Library collections in WorldCat, a publicly available database of bibliographic and institutional metadata.

Attack Asthma: [www.noattacks.org](http://www.noattacks.org). This web site is part of the national childhood asthma campaign that EPA sponsors through a cooperative agreement with the Advertising Council. The Ad Council's mission is to provide timely and the best public service information to the media and the public. The Ad Council has a special focus on issues that adversely affect children and families.

Best Workplaces for Commuters: [http://www.epa.gov/otaq/bwc.htm](http://www.epa.gov/otaq/bwc.htm). The Best Workplaces for Commuters site is in collaboration with the Department of Transportation and will be solely hosted by the EPA Office of Transportation and Air Quality within the next year.

Binational.net: [http://binational.net/index.html](http://binational.net/index.html). This collaboration between the U.S. EPA and Environment Canada provides a single window on joint Great Lakes programs.
Chesapeake Bay Program: www.chesapeakebay.net. EPA is the lead agency in the Federal-state Chesapeake Bay program. The program has a joint website that is supported by an EPA grantee, the Alliance for the Chesapeake Bay, on behalf of at least a dozen Federal and state agencies.

Electronic Product Environmental Assessment Tool: www.epeat.net. EPA provided funding via a three-year EPEAT site (www.epeat.net) cooperative agreement to the Green Electronics Council for the creation of a registry of products meeting the EPEAT standard, a process for verifying that products meet the standard, and marketing of the standard and the registry. This site provides purchasers with easy access to the EPEAT Product Registry and manufacturers with a way to gain market advantage and recognition for greening their products. The three-year cooperative agreement expired this year, and the Green Electronics Council is now financially sustainable in its own right, and continues to maintain the EPEAT website.

EnergyStar: www.energystar.gov. ENERGY STAR is a joint program of the U.S. Environmental Protection Agency and the U.S. Department of Energy helping the public to save money and protect the environment through energy efficient products and practices.

Exchange Network: http://www.exchangenetwork.net and http://www.ncai.org/EPA_Environmental_Exchange_Net.208.0.html. These Websites inform states, territories and tribes about the Exchange Network and its grant program. While EPA provides the funds under the cooperative agreements with the Environmental Council of States and the National Congress of American Indians (NCAI), the websites are maintained independently of EPA.

Federal Remediation Technology Roundtable (FRTR): http://www.frtr.gov. Federal Remediation Technology Roundtable website is used to share information on characterization and cleanup resulting from EPA partnering with other Federal organizations including DOD, Energy, Interior, and NASA.


Midwest Natural Resources Group: http://www.mnrg.gov. Federal agencies partner to bring focus and excellence to Federal activities supporting the vitality and sustainability of natural resources and the environment.

Midwest Spatial Decision Support System Partnership: http://www.epa.gov/waterspace/. This partnership with universities and states promotes the development and dissemination of web-based spatial decision support systems to help manage watersheds in the Midwest.

National IPM Information Source: http://schoolipm.ifas.ufl.edu/. Site funded by grant or contractor to assist the University of Florida reduce the risk of pests and unnecessary pesticide use by promoting integrated pest management (IPM) in schools and providing support, resources and training.

National Pesticide Information Center (NPIC): http://npic.orst.edu. This is a cooperative effort with Oregon State University.

National Pollution Prevention Roundtable(s) (NPPR): http://www.p2.org/. This project involves Energy and various organizations that share the same goals of pollution prevention, research and education.

Natural Gas STAR Program: http://www.epa.gov/gasstar/index.htm. Each agreement improves the access to and dissemination of Government information to the public in order to help achieve EPA’s mission by combining its expertise with that of partners to reach additional audiences.

Northeast Diesel Collaborative: http://www.northeastdiesel.org/. The Northeast Diesel Collaborative (NEDC) combines the expertise of public and private partners in a coordinated regional initiative to significantly reduce diesel emissions and improve public health in the eight northeastern states. Stakeholders include Region 1, Region 2, and external stakeholders.

Office of Pollution Prevention and Toxics: Partnership with Canada, Mexico and the Center for Disease Control.

P2 Framework / Sustainable Futures: http://www.epa.gov/oppt/sf. The Agency has an ongoing Cooperative Agreement with Purdue University's Indiana Clean Manufacturing Technology and Safe Materials Institute Pesticide Environmental Stewardship Program (PESP), http://www.epa.gov/pesp. This is a voluntary partnership program to reduce pesticide risk. A list of partners can be found on the website. PFC (perfluorocompounds) Reduction/Climate Partnership for the Semiconductor Industry http://www.epa.gov/highgwp/semiconductor-pfc/index.html. Each agreement improves the access to and dissemination of Government information to the public in order to help achieve EPA’s mission by combining its expertise with that of partners to reach additional audiences.


Regulations.gov provides citizens with one-stop, Internet access to and the ability to comment on all Federal rulemaking and non-rulemaking actions promulgated by all Federal Departments and Agencies. The eRulemaking Program also operates a secure login site for Federal agencies, www.fdms.gov, which supports more than 10,700 users from 39 Departments and Independent Agencies. The Departments and agencies collectively promulgate more than 90 percent of Federal rulemakings.
Science.gov:  http://www.science.gov/ is an interagency initiative by 14 Federal agencies, including EPA, launched in 2002 to serve the information needs of science-attentive citizens. Science.gov is a gateway to Government science information and research results, providing a search of over 50 scientific databases, 2,100 selected websites, and 200 million pages of science information, and is a gateway to over 2,100 scientific websites. Participating agencies form the voluntary Science.gov Alliance which governs Science.gov. SF6 (sulfur hexafluoride) Emission Reduction Partnership for Electric Power Systems  http://www.epa.gov/highgwp/electricpower-sf6/index.html. Each agreement improves the access to and dissemination of Government information to the public in order to help achieve EPA’s mission by combining its expertise with that of partners to reach additional audiences.

SF6 Emission Reduction Partnership for the Magnesium Industry:  http://www.epa.gov/highgwp/magnesium-sf6/index.html. Each agreement improves the access to and dissemination of Government information to the public in order to help achieve EPA’s mission by combining its expertise with that of partners to reach additional audiences.


Strategic Agricultural Initiative (SAI) Toolbox:  http://www.aftresearch.org/sai/. In conjunction with American Farmland Trust, the SAI is EPA’s outreach program to demonstrate and facilitate the adoption of farm pest management practices that will enable growers to transition away from the use of high-risk pesticides.

Suppliers’ Partnership for the Environment:  www.supplierspartnership.org. This is a partnership with the automobile sector.

Triad Resource Center:  http://www.triadcentral.org. Triad related information is a result of a partnership with USACE, ANL, and other Triad Practitioners.

U.S. Regulatory Agencies Unified Biotechnology Website:  http://usbiotechreg.nbii.gov. EPA, USDA, and FDA are partners, USGS hosts the site.

Voluntary Aluminum Industrial Partnership (VAIP):  http://www.epa.gov/highgwp/aluminum-pfc/index.html. Each agreement improves the access to and dissemination of Government information to the public in order to help achieve EPA’s mission by combining its expertise with that of partners to reach additional audiences.

West Coast Diesel Collaborative:  http://www.westcoastdiesel.org/. Partners:  http://www.westcoastdiesel.org/partners.htm. The West Coast Collaborative (Collaborative) is an ambitious partnership between leaders from Federal, state, and local government, the private sector, and environmental groups committed to reducing diesel emissions along the West Coast. Partners come from all over Western North America, including California, Oregon, Washington, Alaska, Arizona, Idaho, Nevada, Hawaii, Canada and Mexico. The Collaborative is focused on creating, supporting and implementing diesel emissions reductions projects.
Implementation of Electronic Signatures for Interoperability

EPA’s Central Data Exchange (CDX) provides a set of environmental information exchange services that can be used by multiple stakeholders — EPA program offices, state environmental agencies, local and tribal agencies, and other federal agencies. These exchange services include but are not limited to registration, electronic signature, archiving, security services (identity management, authentication, authorization) quality assurance, standard transmission services, data transformation, discovery services (to locate and use services) supported by one group and a common help desk.

As EPA and other agencies face the challenge of meeting growing mission requirements with declining resources, shared environmental exchange services are one way to drive down development and operating costs. Shared services leverage what has been designed and built to be used by a number of stakeholders based on a service-oriented IT architecture, —essentially “build once, use many”. The use of these shared exchange services allows agencies to better focus their limited IT resources on their own unique requirements rather than developing duplicative services and custom approaches.

Electronic Means of Enhancing Public Participation in Government

Regulations.gov: www.regulations.gov. This public website provides one-stop Internet access to view, download, and submit comments on all Federal regulations. In FY11, the public submitted 505,000 comments via the Regulations.gov web form. Regulations.gov receives an average of 850,000 visits per month. In FY11, EPA posted 1,034 proposed and final rulemakings, 1,002 notices, 18,087 supporting documents, and 78,657 public comments on Regulations.gov. In addition, EPA posted videos and displays on a series of rulemaking and non-rulemaking actions on Regulations.gov, including EPA’s Tribal Policy in January 2011 and the joint EPA–DOT proposed fuel economy labels in November 2010.

Regulations.gov Exchange: www.regulations.gov/exchange. The Regulations.gov Exchange is an integrated application that offers the public a new way to participate and collaborate with the Federal agencies on the Regulations.gov website. It enables agencies to host on-line discussions and collect public feedback and consideration. This year, the eRulemaking Program hosted multiple online discussions on topics, including: agency best practices in increasing public participation in the regulatory process and the President’s Executive Order 13563.

Regulatory Development and Retrospective Review Tracker (Reg DaRRT): http://www.epa.gov/regnarrt/. The Reg DaRRT website provides information to the public on the status of EPA’s priority rulemakings and retrospective reviews of existing regulations. The retrospective reviews section was added in response to Executive Order 13563. The other section of Reg DaRRT provides information early in a rulemaking’s development process (i.e., before a proposed regulation is issued) and offers filters that indicate which rulemakings may be of interest to specific stakeholders. The goal is to help stakeholders understand what rulemakings may be forthcoming so they have adequate time to participate and prepare any comments they may wish to submit. Reg DaRRT links to in-depth information on Regulations.gov.
**Reg Stat:** [http://www.epa.gov/regstat/](http://www.epa.gov/regstat/). Reg Stat offers statistical data in the form of charts, tables and brief summary overviews to inform the public about the types of documents EPA publishes in the Federal Register annually.

**Small Entities and Rulemaking:** [http://www.epa.gov/rfa/](http://www.epa.gov/rfa/). EPA launched a redesigned site in 2011 to provide more user-friendly information that small businesses need. The site focuses on potential regulations that are expected to significantly impact small entities. Also, it offers a way that relevant small entities can self-nominate to be a part of an RFA process where EPA gathers information about such regulations.

**Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations**
The link below provides the set of measures EPA currently uses to measure performance of IT related enabling support programs: [http://epa.gov/planandbudget/results.html](http://epa.gov/planandbudget/results.html).

In being open and responsive to the public, EPA created the Enterprise Customer Service Solution (ECSS), used by over 30 EPA programs to provide information and better service to the public at a lower cost. ECSS has two components, Frequently Asked Questions (FAQs) and E-mail Alert Service (EAS). FAQs is a self-service application that manages incoming inquiries and EPA responses while building a knowledge base to create new FAQs. This self-service application has reduced the number of incoming inquiries and, consequently, the cost of providing the information, as well as guaranteeing consistent answers, thus reducing errors. EAS allows users to subscribe to receive email notifications when there is new information about environmental topics of interest to them. It provides performance measures for the number of visitors that have used the FAQ self-service application, as well as the number of email notifications sent through the EAS subscription service. EPA can measure the total number of inquiries and average response times; and how long it takes to respond to inquiries that requires individual handling. ([http://www.epa.gov/epahome/faq.htm](http://www.epa.gov/epahome/faq.htm))

**Reducing Errors through Electronic Submissions**
EPA’s Central Data Exchange (CDX) uses a number of methods to ensure quality data when submitted to the Agency. First, when implementing a web form approach to reporting data, quality checks are embedded or called from the web form and compared to acceptable data or values as the user is in the process of submitting. In addition, many reporting data flows leverage the XML standard allowing for rudimentary quality assurance checks against XML schemas. Some EPA programs have adopted the extended capabilities of XML schemas (schematron) so that large batches of data complete a full quality check prior to being accepted by EPA.

The EPA developed web services so that CDX can call authoritative data sources, such as the Facility Registry System and Substance Registry System, to reduce typos or erroneous data entry. The kinds of quality assurance checks from these processes range from basic mandatory/optional fields to more complex data types involving allowable values or code sets. The purpose of these quality checks is to ensure as clean as possible data prior to coming into the Agency. An underlying instrument that helps facilitate these processes is the establishment of data standards for environmental information across EPA Programs. In a number of respects, this ensures the Agency is speaking one language enabling better query results in the future.
Efforts to Comply with Section 508 Regarding Information Management

EPA works to ensure the accessibility of the Agency's websites, software, hardware, video and multimedia, and telecommunications by providing resources to information users with disabilities, information developers, and information managers. For more information about EPA's role in ensuring accessibility refer to:

- The Section 508 Accessibility page: [http://www.epa.gov/accessibility/](http://www.epa.gov/accessibility/)
- The EIT Tools resource page: [http://www.epa.gov/accessibility/procurement/index.htm](http://www.epa.gov/accessibility/procurement/index.htm)
- The Assistive Technology resource: [http://www.epa.gov/accessibility/technology/index.htm](http://www.epa.gov/accessibility/technology/index.htm)

Quantifying Cost Savings Achieved through Implementation of IT Programs

Below are several examples of how EPA has achieved cost savings and cost avoidance through IT programs:

- EPA completion of the network optimization initiative reduced EPA’s monthly WAN costs by over 50 percent from $179 to $83 per megabit. These cost savings enabled a doubling of EPA WAN capacity to support server consolidation efforts within EPA’s existing operating budget. WAN capacity is a critical path dependency for consolidation.
- EPA re-competed labor contracts responsible for approximately 44 percent of server operations. The new contracting model provides for increased competition through a multi-award contract with annually renewable tasks. Reduced labor costs enable EPA to accommodate approximately $1.5M in annual server consolidation costs within EPA’s existing operating budgets.
- When compared with the cost of Federal agencies developing and maintaining their own independent systems, the eRulemaking program saves the taxpayer $128M over a 5 year period.
- Advantageous pricing from GSA Smart Buy enables EPA to expand its usage of geospatial software to better meet business needs with a much lower annual increase than is possible without the SmartBuy licenses. EPA estimates saving over $2M per year as compared to the street value of commercial geospatial software and data.
- Through E-Travel, a combination of TMC pricing and a substantially higher degree of OBE usage (81 percent), EPA is expected to save over $400,000 in travel management service fees in FY11 when compared to pre-ETS pricing and online usage. EPA continues to process vouchers through ETS and is expected to process over 68,000 vouchers in FY11.

General Services Administration

Information Technology Strategic Plan and Enterprise Architecture Transition Plan

Information Resources Management (IRM) Strategic Plan: IRM Strategic Plan: [http://www.gsa.gov/portal/category/22445](http://www.gsa.gov/portal/category/22445). The General Services Administration’s (GSA) IT Strategic Business Plan of 2010 “ 2012 is being refreshed with an estimated publication date of December 2011 to be responsive to business needs and leverage new and emerging technology and best practices. The 2012- 2015 Plan will ensure that GSA’s current and future IT solutions directly support and align with GSA’s overall goals of Innovation, Customer Intimacy, and
Operational Excellence. The seven business capability areas, especially, Secure IT Services and Knowledge, Data-Driven Decision Making, serve as the foundation for this progressive approach to strategic planning, for which the expected outcome is improved IT investment management.

Enterprise Architecture (EA) Plan: GSAs Enterprise Architecture public info:
http://www.gsa.gov/portal/content/105229.

GSA’s Enterprise Architecture documents are posted at its internal-use portal, Insite. 2011 has been the year of revitalization for GSAs Enterprise Architecture program. Enterprise Architecture (EA) at GSA is a partnership with the business lines. The goal of this partnership is to identify and develop solutions designed to meet changing business needs. EA brings together people, processes and technology to facilitate data-driven decision-making in order to improve the quality of GSAs information technology (IT) portfolio.

**Information Dissemination Management to the Public**

Final determinations, priorities, and schedules for each E-Gov initiative: GSA’s FY10/11 Exhibit 300s are posted at GSA’s public website: http://www.gsa.gov/portal/content/105116. Also located at GSA’s public website is the FY12 Congressional Justification, in which the E-Government appropriation is discussed on pages 125-130. http://www.gsa.gov/portal/content/102463. FY12/13 are predecisional and not posted at gsa.gov; however, were sent to OMB as requested on September 23, 2011.

Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to agency information by the public: http://www.gsa.gov/portal/content/112067.

**Freedom of Information Act (FOIA) Compliance**


Primary FOIA website: GSA’s FOIA handbook, FOIA Report, and online electronic FOIA request are located at the FOIA website at gsa.gov: http://www.gsa.gov/portal/category/21416.

Frequent requests for records are made available to the public at: GSA’s FOIA handbook, FOIA Report, and online electronic FOIA request are located at the FOIA website at gsa.gov: http://www.gsa.gov/portal/category/21416.

**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**

Inventory of formal agency agreements with external entities: Terms of Service Agreements: http://forum.webcontent.gov/?page=TOS_agreements.

A coalition of Federal agencies (led by GSA's Office of Citizen Services and Innovative Technologies) negotiated Terms of Service (TOS) agreements with a broad range of social media providers who offer free services to users in order to resolve issues with existing standard Terms
of Service that are problematic to Federal agencies. Having these agreements in place alleviates the need for agencies to negotiate individually.

**National Archives and Records Administration (NARA) - Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02**
GSA’s records schedules are located at: [http://w3.gsa.gov/web/c/file.nsf/4b6aaf8da00cdb5c85256325005e3d48](http://w3.gsa.gov/web/c/file.nsf/4b6aaf8da00cdb5c85256325005e3d48).

GSA’s OpenView Records Program is located at: [http://www.gsa.gov/portal/content/104098](http://www.gsa.gov/portal/content/104098).

(See Section 1)

**Implementation of Electronic Signatures for Interoperability**
GSA has a well-established e-Signature program with FAS that has been in operation for 5 years. In addition, GSA has been operating a digital signatures working group which reviews the current usage of electronic and digital signatures in the agency. The group assesses the capabilities of various tools available to GSA users. Their efforts include a review of best practices, laws and policy documents related to the use of digital signatures. The planning has resulted in a roadmap of use of digital signatures within GSA. A GSA Order [CIO 2162.1, Digital Signatures] was published by the CIO December 2, 2010 declaring digital signatures as the preferred method of signing documents. The Order is available electronically on GSA InSite. Changes are also being made to various existing policy documents such as the GSAM to clarify language concerning the signing of documents.

**Electronic Means of Enhancing Public Participation in Government**
GSA always uses Regulations.gov to gain public comment on its GSA and 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.

The GSA OCIO quarterly “In Progress Reviews” track OCIO’s critical success measurements referenced in GSA’s 2010-2012 GSA IT Strategic Business Plan goals. These include such measures as:

- Percent of IT strategic initiatives completed on schedule
- Percent of investments with cost variance within +/- 10 percent
- Percent of investments with schedule variance within +/-10 percent
- Percent of EA segments completed
- Percent of IT Project Managers validated (Per CIO Council)

Long term performance goal measures include:

- IT portfolio composition-reduction of the O&M percent of total
- Percent of new business capabilities funding (i.e. DME) in GSA’s portfolio compared to other agencies

**Reducing Errors through Electronic Submissions**

GSA's PDF and Formnet Libraries of approximately 500 Standard, Optional, and GSA forms located at [www.gsa.gov/forms](http://www.gsa.gov/forms) are fillable, savable, XML-capable, 508-compliant, E-signature capable, and may be submitted electronically.

The PDF versions are FDCC-compliant as well; that is, they are useable by any individuals via the free Adobe Reader software, which requires no IT Help Desk intervention.

Since 2002, the Integrated Acquisition Environment (IAE) has offered a portfolio of nine acquisition services which facilitates all phases of the Federal acquisition lifecycle for buyers, sellers, and the public – bringing transparency and visibility to the process of Federal acquisition.

These services evolved from the “Adopt, Adapt, Acquire” strategy. In FY08, due to the need to meet new challenges, a fourth strategy was added—“aggregate.” The “aggregation” strategy focuses on both business services and data in the acquisition lifecycle. The functions performed by the current IAE applications will be migrated to a set of acquisition business services that will be implemented consistent with Service-Oriented Architecture concepts and technology, and will leverage open source software and open source software development methodologies.

Aggregating and leveraging a set of common services such as reporting and database management will greatly simplify the IT infrastructure.

Managing a few databases, as opposed to the current nine, will reduce data redundancy and errors, contribute toward establishing a more secure platform, improve data integrity and reduce the cost of ownership and operation.

**Efforts to Comply with Section 508 Regarding Information Management**

GSA has incorporated key initiatives in its FY12 Strategic Program Plan, to improve compliance with Section 508 of the Rehabilitation Act. The first of 4 objectives includes developing a Section 508 course curriculum in the GSA On-Line University. This curriculum included a total of 5 training courses designed to aid employees in building accessible office documents. The final course will focuses on Fundamentals of Giving An Accessible Presentation, to ensure maximum accessibility of information to an audience.

The second initiative includes robust usability testing of websites and web-applications throughout the developmental phases of the lifecycle. GSA’s one-stop resource lab incorporated usability testing methodologies and best practices, with the goal of improving user-centered design and optimizing the user experience. In this lab, GSA will engage in writing for comprehension and plain language practices, such as active voice, shortening sentences, use of common words and deploying easy-to-read design features. These techniques also serve to enhance accessibility of GSA’s online presence.

The third and final initiative for this year is to procure Section 508 analysis and testing, evaluation and reporting services for websites and web applications. The scope of this procurement will allow GSA offices to acquire services as needed and on a pay per task basis.
The contractor will essentially perform independent verification and validation testing processes that include Section 508 error violation identification and analysis. The findings during testing will be evaluated and recommendations for remediation will be generated in a final report.

**Quantifying Cost Savings Achieved through Implementation of IT Programs**

GSA expects that using the cloud-based Mail system will reduce email operation costs by 50 percent over the next five years and save more than $15.2M for the agency in that time.

The E-Gov Benefits Report summarizes benefits realized and expected from Electronic Government (E-Gov) initiatives funded by GSA, either as the managing agency or through contributions to other agencies in accordance with the reporting requirements established in section 737 of Public Law 110-161.

GSA is a Managing Partner for the following E-Gov initiatives:

**E-Government Travel Service (ETS)**

- Increased cost savings associated with overall reduction in Travel Management Center (TMC) transaction service fees;
- Advantageous strategic source pricing through cross-government purchasing agreements;
- Improved business process functionality as a result of streamlined travel policies and processes;
- Eliminated over 250 disparate, paper-driven systems costing $180M annually;
- Increased online adoption from less than 5 percent in 2003 to 68 percent as of July 2011, saving close to $10M annually;
- Reduced traveler reimbursement cycle time from 28 days to 3 days;
- Leveraging commercial reimbursement cycle time to position the Government for future technology such as cloud computing.

**Electronic Federal Asset Sales (eFAS)**

- Provides Federal agencies with a standardized mechanism to sell Government-owned property. A single portal allows agencies to reach a broader customer base and obtain greater exposure for their assets during disposal. Automating the disposal process has reduced cycle time, saving storage and transportation expenses; and
- Investigating moving GovSales.gov to a cloud computing environment to provide savings.

**Integrated Acquisition Environment (IAE)**

- Increasing transparency through data sharing to enable better decisions in procurement, logistics, payment, and performance assessment;
- Creating a simpler, common, integrated business process for buyers and sellers that promotes competition, transparency and integrity;
- Modernizing acquisition tools to leverage investment costs for business related processes;
National Aeronautics and Space Administration

Information Technology Strategic Plan and Enterprise Architecture Transition Plan
Information Resources Management (IRM) Strategic Plan:

Enterprise Architecture (EA) Plan:
http://www.nasa.gov/pdf/282059main_NASAEnterpriseTransitionPlanv3.2FINAL.pdf. Version 3.2 was most recently updated in May 2009, and includes updates to reflect changes in the Agency EA program. The Plan reflects segment architectures associated with the National Aeronautics and Space Administration’s (NASA) Lines of Business (LoBs) and mission support cross-cutting segments within the agency.

Information Dissemination Management to the Public
Final determinations, priorities, and schedules for each E-Gov initiative:
http://www.nasa.gov/about/contact/information_inventories_schedules.html. NASA provides a link for the public to access NASA’s final determinations, priorities, and schedules on its main webpage (www.nasa.gov), pages accessible to the public with URL’s that end in nasa.gov, and each of the NASA Center’s web pages. The link is called “NASA Information-Dissemination Product Inventories, Priorities and Schedules.”

Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to agency information by the public:
http://www.nasa.gov.

NASA’s Office of Public Affairs determines which Government information is made available and accessible to the public through the NASA Web Portal. The Office of Public Affairs releases information based on its news value and interest to the media and public. As the release of this information is timed to its news value and is highly variable in content, the Agency does not maintain a fixed schedule or list of priorities. In terms of final determinations, priorities, and schedules available for public notice and comment, the public and the news media provide feedback to the News and Multimedia Division on a daily basis via telephone and e-mail, making a formal comment period unnecessary.

Freedom of Information Act (FOIA) Compliance
FOIA handbook: http://www.hq.nasa.gov/office/pao/FOIA/FO_OAIA_Ref_Guide.pdf. NASA continues to proactively comply with the “Electronic Freedom of Information Act Amendments of 1996.” In past years the Agency set up a specific Electronic FOIA (E-FOIA) Reading Room for posting documents relating to the Columbia accident. Releasable portions of several NASA contracts have also been posted in the reading room. These and other Agency records have been electronically posted for: (1) meeting the multiple requests for similar records; or (2) the anticipation of public interest for agency records.

Primary FOIA website: http://www.hq.nasa.gov/office/pao/FOIA/agency/

Frequent requests for records are made available to the public 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
Public websites disseminating research and development (R&D) information to the public: http://ntrs.nasa.gov/.

The NASA Technical Report Server (NTRS) is a comprehensive source of NASA’s current and historical Federally funded research and development (R&D) aerospace research and engineering results. NASA’s R&D and missions produce a wealth of important scientific and technical information that is essential to the Agency, to U.S. aerospace companies and educational institutions, and to the Nation. The NTRS is an integral part of gathering and disseminating this mission-related information. NTRS promotes the dissemination of NASA Scientific and Technical (STI) to the widest audience possible by allowing NTRS information be harvested by sites using the Open Archives Initiative Protocol for Metadata Harvesting (OAI-PMH).

Dissemination of Formal Agency Agreements with External Entities to the Public
An updated inventory will be deployed during FY12 and will be available on http://www.nasa.gov/offices/ocio/IRM_Plan.html. NASA’s 2011 Strategic Plan called to expand partnerships with international, intergovernmental, academic, industrial, and entrepreneurial communities and recognize their role as important contributors of skill and creativity to NASA’s missions and for the propagation of its results. To further Open Government goals, NASA has developed a new inventory of sample agency agreements with external entities (e.g., partnerships with international space agencies, Federal agencies, State/local governments, universities, public libraries, industry and commercial search engines). This inventory will be an interactive, searchable info-graphic, slated for deployment in October 2011.

National Archives and Records Administration (NARA) - Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02
NARA-approved records schedules: 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. NASA continues to create and submit to NARA retention schedules for those records determined to be unscheduled. Some new schedules have been approved and 1,236 of NASA’s systems now have 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 approved schedules for 96.3 percent of the categories of systems. The Agency continues work on developing proposed schedules for the remaining 3.7 percent of the subject categories of systems containing 94 systems or applications requiring schedules.

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 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 FY13. 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. Direct budget cost savings and cost avoidance result from NASA’s transition to the Federal Docket Management System (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 thousand over alternative options that would provide similar services.

Another approach that NASA is using to engage the public is OpenNASA (http://open.nasa.gov), 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 – one that actively engages people from all backgrounds and perspectives.

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

NASA’s 2011 Strategic Plan unveils the Agency’s new direction and new strategic goals. NASA has updated its annual performance plans (APPs) to reflect this new direction. In concert with this effort, NASA is transitioning to a new performance framework with a focus on increased transparency and accountability. References to IT performance goals can be found under Objective 5.2.2: Provide information technology that advances NASA space and research program results and promotes open dissemination through efficient, innovative, reliable, and responsive services that are appropriately secure and valued by stakeholders and the public. The NASA FY12 Performance Plan can be found at the following link:

Reducing Errors through Electronic Submissions

NASA’s integrated human capital solution enables information to flow from the hiring process through on-boarding, to its personnel payroll system. Process automation has eliminated redundant manual data entry and associated errors. Additionally, automatically populating entry forms allows new employees to validate their information prior to submission into the badging, identity management, and payroll processes. The personnel data warehouse provides information to employees and managers to support both decision making and data quality control, since users can identify any errors for correction.
Instead of manually entering data directly into the 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 data is provided through a custom interface thus promoting more timely and accurate data reporting. In support of E-Gov’s Open Government initiative and the Federal Funding Accounting and Transparency Act (FFATA), NASA implemented functions within the CMM-PRISM application to derive the predominate Treasury Account Symbol (TAS) for all NASA awards and interface it directly to the FPDS-NG. This function replaced a process containing a manual step by Contract Procurement Offices and increases efficiency and data quality for reporting TAS to FPDS-NG and USASpending.gov.

CMM-PRISM also includes an interface to Online Representation and Certifications (ORCA) website enabling NASA Contract Specialist to download Contractors ORCA data for inclusion in their electronic award document or print out for hard copy files.

Efforts to Comply with Section 508 Regarding Information Management
- In January 2011, NASA published its first ever Agency-wide Electronic and Information Technology Accessibility policy;
- In April 2011, NASA OCIO completed the development of a 508 Awareness training module that will be integrated into the agency's training suite (SATUREN). This integration is scheduled to be completed by December, 2011; and,
- The NASA OCIO is working with the NASA Office of Diversity and Equal Opportunity, specifically Center Disability Program Managers, to streamline requests for accommodations and accurately report those requests in the form of Agency metrics to the Agency 508 Coordinator, Chief Information Office, and Director, Office of Diversity and Equal Opportunity.

Quantifying Cost Savings Achieved through Implementation of IT Programs
Deployment of NASA’s automated, integrated on boarding process enabled NASA to provide badges, access and equipment to new hires within the first two days of hire. Prior to implementation of this process, it took on average 30 days for a hire to receive the tools and access needed to be a fully performing employee. The agency was able to mitigate the lost productivity cost, estimated at over 4M annually that was caused by excessive delays in efficiently provisioning each new hire.

SAP/Real Property Mgmt (RPM): This effort integrated the management of Real Property with the Agency’s Core Financial System via real-time integration at the individual asset level (asset capitalization and depreciation). Prior to the integration, manual Journal Vouchers (JV) were utilized at the summary level. This process was prone to human error.

SAP/Materials Mgmt Initiative (MMI) - Cost Avoidance: Removing the legacy NASA Supply Mgmt System (NSMS) from the Agency mainframe platform by utilizing the Agency’s ERP software suite (SAP) will allow this platform to be decommissioned as planned (6 months after last shuttle mission—January 2012). Otherwise, the costs were estimated at $4.2M annually. The Agency was already licensed to utilize the SAP software.
National Science Foundation

Information Technology Strategic Plan and Enterprise Architecture Transition Plan
Information Resources Management (IRM) Strategic Plan: Includes the EA Transition Plan.


Information Dissemination Management to the Public
Final determinations, priorities, and schedules for each E-Gov initiative: http://www.nsf.gov/policies/egov_inventory.jsp.


Freedom of Information Act (FOIA) Compliance


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

The National Science Foundation (NSF) publishes information about how Federally funded research and development grant dollars are being spent and what results are achieved.

Dissemination of Formal Agency Agreements with External Entities to the Public

NSF supports collaborative projects involving academic institutions, private industry, and state and local governments; works closely with other Federal agencies; and supports participation in international scientific efforts.

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

In FY11: NSF trained agency records custodians on the Department of Defense (DOD) 5015.2 approved ERM system, Documentum, which manages retirement, retrieval, and transfer of physical records. NSF initiated Phase II of the Documentum implementation to support management of electronic records, including transfer to NARA. NSF is consulting with NARA on records management implications of social media and will seek approval of a relevant record
schedule. NSF continually evaluates new systems for records content, schedules them as appropriate, and updates 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.

In addition, 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 eRulemaking Program, and contributes to its cost. The Foundation typically publishes only one to three proposed regulations per year.

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

NSF’s ability to fund science and engineering, research, and education is dependent on the business processes that support the agency each and every day. These processes are fully supported by electronic business solutions. While NSF has been a leader in technology solutions to support its mission, it remains focused on institutional transformation through creativity and innovation and by continuing its role performing as a “model organization,” which is a strategic goal from NSF’s FY11-FY16 Strategic Plan.

NSF’s Open Government Plan serves as the roadmap to improve transparency and better integrate public participation and collaboration into its core mission, thereby enabling NSF to become more innovative and efficient. Historically, NSF has made data and services readily available to the public through its website as well as through one of NSF’s key initiatives and technology platforms—Research.gov. Innovative tools available online through Research.gov improve the interactions between Federal agencies, including NSF, the National Aeronautics and Space Administration (NASA), the Department of Defense, and the National Institute of Food and Agriculture (NIFA), and ease the administrative burden on the research organizations that submit applications to and receive funding from these agencies. Research.gov also makes
information that was not previously available electronically accessible to thousands of individuals at these organizations.

*Research.gov* delivers important benefits to stakeholders by increasing the speed with which agencies 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 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 to 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 55,000 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**
NSF strives to ensure its information systems are accessible to all, including individuals with disabilities and those without reasonable access to advanced technologies, and to make every document on NSF web pages accessible to the widest possible audience. To accomplish these goals, NSF has recently implemented the following initiatives to improve compliance with Section 508 of the Rehabilitation Act:

NSF initiated an interagency agreement with the Department of Commerce’s National Technical Information Services (NTIS) to provide digitization services, including bulk scanning and CD/DVD duplication support, for conversion of printed, historical, and legacy documents to high quality, searchable digital files that are easily accessible on a computer. Using these services in FY11, NSF successfully digitized printed versions of National Science Board books produced between 1950 and 1995 and has begun the process of digitizing historical records, including NSF Annual Reports.
• NSF partnered with the General Services Administration (GSA) to conduct multiple Section 508 meetings and training classes at NSF to increase staff awareness of Section 508 compliance requirements. NSF also partnered with the Library of Congress in FY11 to host a series of four webinars on Section 508 requirements; the end goals were to foster information exchange and share best practices for Section 508 implementation and compliance between agencies.

• NSF installed a Braille printer to create printed documents in a format accessible to individuals who are blind or have low vision, and began updating videos published to NSF websites to ensure each includes captioning and/or text file transcripts.

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 (Federal Financial Assistance Management Improvement Act, President's Management Agenda, E-Government Act, and 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.

Nuclear Regulatory Commission

Information Technology Strategic Plan and Enterprise Architecture Transition Plan
Information Resources Management (IRM) Strategic Plan: http://www.nrc.gov/reading-rm/doc-collections/nuregs/staff/sr1614/v4/sr1614v4.pdf. The agency is coordinating the IT Roadmap and the IT/IM Strategic Plan to reflect the same themes aimed at meeting agency objectives.

Enterprise Architecture (EA) Plan: The Nuclear Regulatory Commission’s (NRC) Information Technology (IT) Roadmap, most recently revised in February 2011, presents the agencies EA transition strategy. The agency is in the process of updating this document to better reflect the current and planned modernization initiatives as well as other relevant OMB E-Government priorities. NRC expects to complete the new revision of the IT Roadmap by the end of December 2011.

Final determinations, priorities, and schedules for each E-Gov initiative
Final determinations, priorities, and schedules for each E-Gov initiative: http://www.nrc.gov/reading-rm/copies-docs.html.

Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to agency information by the public:


**Freedom of Information Act (FOIA) Compliance**


Frequent requests for records are made available to the public at: [http://www.nrc.gov/reading-rm/foia/recent-request.html](http://www.nrc.gov/reading-rm/foia/recent-request.html).

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

Public websites disseminating research and development (R&D) information to the public:

- [http://www.nrc.gov](http://www.nrc.gov)
- [http://www.nrc.gov/about-nrc/regulatory/research.html](http://www.nrc.gov/about-nrc/regulatory/research.html)

NRCs public website as a whole disseminates R+D information to the public. The website provides information about Federally funded R+D as well as the results of Federal research, specifically through the following pages: Publications Prepared by NRC Contractors (NUREG-series contractor reports) Research Activities

**Dissemination of Formal Agency Agreements with External Entities to the Public**

Inventory describing formal agency agreements) with external entities: 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 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 NRC’s public website. 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

**National Archives and Records Administration (NARA) - Approved Records Schedules**

Inventory and Progress on NARA Bulletin 2006-02

NRC Comprehensive Records Disposition Schedule, issued March 2005, describes records (in any format) that had a NARA-approved records retention schedule as of March 2005. This document, as well as any new NRC records disposition schedules post NUREG-0910, is on NRC’s website at [http://www.nrc.gov/reading-rm/records-mgmt.html](http://www.nrc.gov/reading-rm/records-mgmt.html), NRC Management
Directive 3.53, NRC Records and Document Management Program, March 15, 2007, does not report on the transfer of electronic records but includes instructions on implementation for format and media. NRC did not submit records retention schedules to NARA in FY11. As stated in the report the agency submitted on these activities in September 2011, 114 systems have been identified, 99 have approved schedules, and 13 are pending approval. Two remain unscheduled but are in draft and going through NRC internal concurrence process.

**Implementation of Electronic Signatures for Interoperability**

For its electronic signature program, NRC implemented Public Key Infrastructure (PKI) digital signatures using X.509 standards-based digital certificates and elected to fund the PKI service and provide the digital certificates free of charge to approved participants. Persons who desired to submit forms and documents electronically used their digital certificate to authenticate to NRC’s Electronic Information Exchange system and to digitally sign their electronic submittal forms. The digital signatures allowed NRC staff and administrative judges to have full confidence that submitted content was not modified during transit or processing.

In pursuit of efficient interoperability NRC engaged in a technical discussion with the Government Printing Office and the Office of the Federal Register to participate in the program for electronic submission of notices. Last year, NRC investigated a new PKCS #7 digital signature application developed by the Federal Identity, Credential, and Access Management subcommittee of the Chief Information Officers Council. This year, the agency implemented this application for select individuals who have the need and authority to digitally sign NRC submissions to the Federal Register.

Recently, NRC has authorized a new project to gather electronic signature requirements agency wide. The project will compile the requirements and use these data to develop a comprehensive electronic signature infrastructure design to meet NRC’s needs for the next three to five years. The project will also design a solution to allow for the long-term archival and validation of electronic signatures at NRC which also meets NARA requirements for electronic records archival.

**Electronic Means of Enhancing Public Participation in Government**

NRC fully participates in the Federal e-Rulemaking Initiative at [http://www.regulations.gov](http://www.regulations.gov). NRC has created dockets on this website for all documents it has published in the Federal Register since December 2007. 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. The public can also subscribe to updates on NRC’s rulemaking pages.
Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies, and Internal Operations

OMB has determined that NRC need not set agency priority goals. Thus, NRC does not report on performance at Performance.gov.

Performance information appears on NRC’s website:


The NSTS tracks the transfer of responsibility for sealed sources of radioactive materials spanning 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 implementation of the NSTS satisfies the commitment to Congress to develop source-tracking capabilities and satisfies the call in the International Atomic Energy Agency’s Code of Conduct for a national, central database of high-risk sources.

The NSTS helps:

- 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 through the use of automated alerts.
- 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 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.

Reducing Errors through Electronic Submissions

NRC has enhanced its electronic submittal capability to facilitate the electronic transmission process. The use of electronic submissions has been highly effective in reducing errors.

NRC uses 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 adjudicatory artifacts for upcoming and ongoing proceedings, and for tracking the transfer of responsibility for sealed sources of radioactive materials. The electronic submittal process is invaluable for managing the interaction among internal NRC organizations and with external organizations.

Electronic submission has been instrumental in allowing 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 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**
NRC does have service provisions for people without access to the Internet. NRC maintains its Public Document Room (PDR), where members of the public can read copies of NRC publicly available records. The PDR has a fee-based copy service; 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. The PDR staff may also refer people to the nearest public library for further assistance, since most public libraries now have Internet access.

In FY11, NRC deployed its redesigned public website. The agency implemented best practices in the redesign, including Section 508 compliance. In addition, upon completion of the redesign, NRC verified its compliance with Section 508 by responding to the U.S. Department of Justice Section 508 survey that tested the website for Section 508 compliance.

NRC is creating a charter for a Section 508 working group, with representatives for the different areas of responsibility (e.g., procurement, training, Web content management, application development, complaints) within the agency, to share information and coordinate improvement of Section 508 policy, procedures, and guidance. NRC is also increasing the number of Section 508 training courses, starting with freely available ones.

**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 the NSTS is $47M.
- **Enterprise Content Management System:** Through 2012, NRC’s enterprise content management system will accomplish document processing turnaround service-level commitments with estimated cost avoidance of $2M dollars in document processing contractor full-time equivalent staff.
- **e-Travel:** In FY09, NRC successfully implemented the e-Travel system, a Presidential Priority Initiative under OMB’s E-Government program. e-Travel 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-Travel of $1.6M dollars.
- **System Inventory:** Proposed accreditation boundary realignments meet new system authorization requirements specified in National Institute of Standards and Technology Special Publication 800-37, Revision 1, “Guide for Applying the Risk Management Framework to Federal Information Systems: A Security Life Cycle Approach,” issued February 2010, achieving an approximate cost avoidance of $9.5M by not having to fund
new system authorization projects. NRC EA and computer security teams developed this solution.

**Office of Personnel Management**

**Information Technology Strategic Plan and Enterprise Architecture Transition Plan**

Information Resources Management (IRM) Strategic Plan:  

Enterprise Architecture (EA) Plan: The Office of Personnel Management (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**

Final determinations, priorities, and schedules for each E-Gov initiative:

**E-Training:**

- Go-Learn: http://www.golearn.gov

**Recruitment One-Stop:**

- USAJOBS website: http://www.usajobs.gov/

**Enterprise Human Resource Integration (EHRI):**

- EHRI website: http://www.opm.gov/egov/e-gov/EHRI/

**Human Resource Line of Business (HR LoB):**


**E-Clearance:**

- e-Clearance E-Gov initiative has completed numerous accomplishments since inception. Currently, background investigation transformation and upgrade initiatives are being managed through the EPIC Transformation program with Federal IT Dashboard at: http://www.itdashboard.gov/investment?buscid=597.

OPM manages several E-Government Initiatives and publishes information about them at the respective websites. Priorities and schedules for several initiatives are available on the Federal IT Dashboard.
Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to agency information by the public:

- Links to frequently requested documents: [http://www.opm.gov/open/resources/MostRequested.aspx](http://www.opm.gov/open/resources/MostRequested.aspx)
- Visitors can use OPM’s Subject Index to browse OPM’s website: [http://www.opm.gov/topics.asp](http://www.opm.gov/topics.asp)
- Answers to frequently asked questions (FAQs): [http://www.opm.gov/open/resources/DidYouKnow.aspx](http://www.opm.gov/open/resources/DidYouKnow.aspx)
- OPM’s website offers an array of information to the public: [http://www.opm.gov](http://www.opm.gov)

OPM publishes information dissemination directories for access by the public on the agency’s Open Government website, in the agency’s electronic Freedom of information Act (FOIA) reading room, and in a publications data base that is available to the public.

**Freedom of Information Act (FOIA) Compliance**


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

Public websites disseminating research and development (R&D) information 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**

Inventory of formal agency agreements with external entities: 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 FY11 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](http://www.opm.gov/open/Data.aspx).

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

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 encourages public engagement through its Open Government site, OpenOPM, which is located at http://www.opm.gov/open/. The site includes an area for members of the public to submit questions and comments about OPM-related topics.

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.

The OPM High-Priority Performance Goals are located at: http://www.opm.gov/gpra/opmgpra.
Reducing Errors through Electronic Submissions
OPM has reduced errors through the use of electronic submissions by increasing its use of automation. For example, in FY10 OPM selected the eCPIC tool 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. It also includes a central repository of cost, schedule, risk, and mission-related business performance information about investments. Information about OPM’s IT investment portfolio is reviewed and updated routinely 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 is continuing to utilize a multiyear 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 of FY12 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. Other enterprise-wide license agreements up to FY16 with various companies such as Oracle on IT products have resulted in a $3.2M cost saving.

The Human Resources Line of Business (HR LoB) 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 HR LoB 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 HR LoB 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
Information Resources Management (IRM) Strategic Plan:
Enterprise Architecture (EA) Plan:

Information Dissemination Management to the Public
Final determinations, priorities, and schedules for each E-Gov initiative:
http://yes2007.sba.gov/sites/ocio/policy/egov/Pages/Home.aspx. SBA participates in and makes financial contributions to nearly a dozen E-Government initiatives. The Agency has memoranda of agreements (MOA) and/or Interagency Agreements (IAA) with the managing partners of each these initiatives.

Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to agency information by the public: The Small Business Association’s (SBA) primary mode of disseminating information is through its website http://www.SBA.gov. Additionally, SBA uses GovDelivery which allows the public to subscribe to receive email updates and newsletters from SBA, and several social media tools to reach a wider audience (http://www.sba.gov/social-media). SBA maintains an inventory of its web content at http://www.sba.gov/sitemap and http://www.sba.gov/about-sba-services/the-sba-website.

Freedom of Information Act (FOIA) Compliance


Frequent requests for records are made available to the public at: http://www.sba.gov/about-sba-services/7589.

Dissemination of Federal Research and Development (R&D) Funding to the Public
Public websites disseminating research and development (R&D) information to the public: http://www.sba.gov/about-sba-info/11419. The Technology Program Office coordinates the Small Business Innovation Research (SBIR) Program and the Small Business Technology Transfer (STTR) Program. Through these two competitive programs, SBA ensures that the nation's small, high-tech, innovative businesses are a significant part of the Federal Government's research and development efforts. Eleven Federal departments participate in the SBIR program; five departments participate in the STTR program awarding $2B to small high-tech businesses.

Dissemination of Formal Agency Agreements with External Entities to the Public
Inventory of formal agency agreements with external entities: References to external agreements executed by SBA are located throughout www.SBA.gov.

National Archives and Records Administration (NARA) - Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02
NARA-approved records schedules: SBA presently has 27 approved electronic systems. SBA submitted one electronic schedule to the National Archives and Records Administration (NARA).
Implementation of Electronic Signatures for Interoperability
SBA continues work on its technical implementation of e-signature capability with an internal
PKI infrastructure with planned completion of SBA-wide logical access using HSPD-12 PIV
cards set for FY12. This infrastructure will be used for selected applications, including
personnel-related applications.

Electronic Means of Enhancing Public Participation in Government
SBA is an active participant in electronic rulemaking. During FY11, SBA created 23 rulemaking
dockets through the Federal Docket Management System (FDMS) for inclusion on
Regulations.gov. One of these dockets, Small Business Size Standards: Professional, Technical,
and Scientific Services proposed rule generated 1,400 public comments.

Using IT to Link Performance Goals to Key Stakeholders, Private Sector, Other Agencies,
and Internal Operations
To provide transparency, SBA makes available documents critical to effective operation,
including the administration’s strategic plan, budget requests, performance plans and
recommendations for improvement, and financial reports. This information provides a thorough
understanding of how SBA is working toward its mission to help small business owners succeed
in a responsible and focused manner.

- SBA’s Strategic Plan: http://www.sba.gov/about-sba-info/11572
- SBA’s Information Technology Strategic Plan: http://www.sba.gov/content/sba-
  information-technology-strategic-plan-itsp-2012-2016
- Annual Performance Report : http://www.sba.gov/content/fy-2012-congressional-budget-
  justification-and-fy-2010-annual-performance
- Performance and Budget: http://www.sba.gov/about-sba-services/217

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 reduces error in the 8(a) program application and annual re-certification processes. Prior
to BDMIS, applications for admission to the 8(a) program were submitted on paper to the
SBA. Once admitted to the program for a period of nine years, the materials for annual re-
certification were submitted in a hardcopy format. When these materials were received by the
SBA, the data was re-keyed into SBA’s internal 8(a) program processing and tracking
system. This re-keying process was time consuming and error prone. The introduction of
BDMIS allowed the SBA to completely eliminate such data re-keying errors. Using BDMIS,
8(a) program applicants and 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
In FY11, with the launch of a new SBA.gov website, SBA took the opportunity to recommit to
providing information in a format accessible to all members of the public. The revamped
SBA.gov focuses on providing content in HTML rather than PDF or other document formats
which may not always be accessible. A new website content review process was instituted and SBA undertook additional efforts to ensure Section 508 requirements are incorporated into relevant procurement contracts. SBA continues to make improvements to its Section 508 program.

**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:

The Loan Management and Accounting System (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 terminated the LMAS investment during FY11 and redirected funding to smaller, more manageable projects known collectively as the Loan Management and Accounting System Incremental Improvement Projects (LMAS IIP). These smaller projects will be separately funded, and will provide more meaningful deliverables and decision points as the strategy is executed.

The SBA estimates that the development costs for the new approach will total $39M as compared to the original LMAS development budget of $156M, and that work will be completed in approximately 2.5 years, as compared to the original LMAS schedule of 9 years. In addition, SBA estimates that the total life cycle costs for the new approach will be $94M as compared to $217M for the original approach.

In the September 2010 report to the Office of Management and Budget’s Financial Systems Advisory Board (FSAB), SBA estimated that the LMAS IIP development costs would total $42.67M. The LMAS IIP strategy was approved by FSAB in January 2011. With the approval of the strategy, SBA initiated market research that resulted in the development cost estimate being reduced from $42.67M to $39M.

The SBA made progress toward the modernization of our loan management and accounting systems in FY11 with the completion of the Oracle R12 Upgrade (R12) project in May 2011. The R12 project was the first LMAS-IIP project to be completed.

In FY11, SBA initiated the Incremental Migration of User Interfaces project to migrate the user interfaces from the mainframe environment to the Oracle/Cold Fusion/Java environment. During FY11, SBA began retiring screens resulting in 5 percent of the functionality being migrated from the mainframe environment to the Oracle/Cold Fusion/Java environment. In addition, there were 1 million fewer transactions on the mainframe from June to July as a result of the screens migrating to the new environment.

As SBA’s vision of the LMAS-IIP projects is being implemented, the agency is also implementing a data center consolidation strategy. In support of the data center consolidation efforts, SBA closed out its hosting contract with SRA. In FY11, SBA has entered an inter-agency agreement with the Department of Homeland Security for LMAS-IIP hosting services.
During FY11, SBA implemented its acquisition strategy for several of the LMAS IIPs by awarding the following contracts:

- DSG was awarded a contract to assess and implement the strategy for the Migrate from Sybase to Oracle project
- SRA was awarded a task order to support the Root Cause Analysis project
- Select Computing was awarded a contract to assess the COBOL code

The Homeland Security Presidential Directive 12 (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 and moved into an Inter-Agency Agreement with GSA for a Managed Service Offering with their Office of Integrated Technology Services to provide Personal Identity Verification (PIV) card issuance for SBA. This change in implementation strategy and based on the number of cards that SBA has activated to date, the cost is approximately $409 per card which is a savings of $1,205 from the $1,614 estimate that was previously reported.

Social Security Administration

Information Technology Strategic Plan and Enterprise Architecture Transition Plan
Information Resources Management (IRM) Strategic Plan: The Social Security Administration (SSA) Information Resources Management Strategic Plan document link is http://www.socialsecurity.gov/irm/.

Enterprise Architecture (EA) Plan: The EA Program Plan is an internal document and is currently not available on the SSA website. SSA is currently in the process of updating a newer version of the IRM.

Information Dissemination Management to the Public
Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to agency information by the public: SSA provides and disseminates information using multiple channels. These include the Internet, press releases, paper publications, mailings, briefings, and face-to-face meetings, articles in Social Security Update and webinars on a wide range of topics listed at http://www.socialsecurity.gov/webinars. The processes and channels used to disseminate this information follow the agency’s communication tactical plans managed by SSA’s Office of Communications. The following lists Internet links that are available to the public. The primary link is http://www.socialsecurity.gov/, which provides access to general agency program and benefits information and services along with non-agency related links. It also contains a link to the websites Policies & Other Important Information page at http://www.socialsecurity.gov/websitepolicies.htm. This page describes the policies and linking guidelines and includes a link to the Web Content Inventory page.
Social Security also maintains demographic-specific websites. In 2011, SSA updated its site for American Indians and Alaska Natives, [http://www.socialsecurity.gov/anian](http://www.socialsecurity.gov/anian). SSA added a completely new section called Tribal Communications and posted the Agency’s Tribal Consultation and Coordination Plan, Tribal Directory and Video Service Delivery Locations Serving Tribal Communities. In addition, SSA has also added a special website for African-Americans and the Deaf or Hard of Hearing.

The Web Content Inventory page, [http://www.socialsecurity.gov/pgm/inventory.htm](http://www.socialsecurity.gov/pgm/inventory.htm), describes the priorities and publishing schedules for all information on the website. Also, [http://www.socialsecurity.gov/](http://www.socialsecurity.gov/) links to the online forms page, [http://www.socialsecurity.gov/online](http://www.socialsecurity.gov/online), the publications page, [http://www.socialsecurity.gov/pubs](http://www.socialsecurity.gov/pubs), the press release page, [http://www.socialsecurity.gov/pressoffice/pressrel.htm](http://www.socialsecurity.gov/pressoffice/pressrel.htm), and the Office of the Actuary page, [http://www.socialsecurity.gov/OACT/](http://www.socialsecurity.gov/OACT/). The forms and publications pages provide the public with online access to forms and information. The press release page includes links to all agency press releases and a Facts And Figures page. The Office of the Actuary page provides the public access to actuarial publications, solvency estimates, cost of living adjustment data, benefits calculators, and beneficiary and trustee information.

**Freedom of Information Act (FOIA) Compliance**


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

Public websites disseminating research and development (R&D) information to the public: SSA has cooperative agreements with the Retirement Research Consortium (RRC), which is composed of world-renowned retirement research centers. SSA 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 is on their individual websites. The [http://www.socialsecurity.gov/policy/](http://www.socialsecurity.gov/policy/) page 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: [http://www.socialsecurity.gov/policy/docs/contractreports/index.html](http://www.socialsecurity.gov/policy/docs/contractreports/index.html), which provides reports for extramural research conducted by contractors; and - [http://www.socialsecurity.gov/disabilityresearch/](http://www.socialsecurity.gov/disabilityresearch/), which provides information to the public about Federally funded research and development activities and provides the results of Federal research.

**Dissemination of Formal Agency Agreements with External Entities to the Public**

Inventory of formal agency agreements with external entities: SSA shares information in accordance with laws and regulations, to help others do their business more efficiently and effectively. SSA exchanges data with hundreds of state and local governments through its agreements and makes available public statistical information through public use files in a
variety of formats. Within the agency, a number of organizational components 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.

SSA utilizes the Agreement Workflow Tool (AWT) for processing SSAs data exchange and other Reimbursable Agreements according to SSA standards and process workflow. The AWT is a role-based Intranet application that provides users - that include the Offices of the Commissioner, Operations, General Counsel, Budget, Finance and Management, and Systems - with functionality to create, renew and amend the financial agreements. The application also provides functionality to generate agreement related reports, search for agreements, view agreement history and store agreement related documentation including the legal agreement. The AWT facilitates the estimation, creation, and tracks the progress of new reimbursable agreements and renewals with outside entities (i.e., Government agencies and private sector) to ensure timely and appropriate action on the agreement.

The Data Exchange Inventory (DEXI) is the enterprise application used by the Office of Systems to identify both incoming and outgoing electronic data exchanges. It contains information on exchanges between SSA and various exchange partners, including Federal, foreign, State and local government agencies, as well as domestic private entities. DEXI allows any SSA Intranet user to query specific information about a particular data exchange or the ability to perform queries of a global nature. Types of data retrievable include the organization name, data flow direction, type of media exchanged, frequency, agreement type, and agreement beginning and ending dates. Some management information reports and a comprehensive ad hoc view of data are also available. DEXI currently contains information on approximately 1,500 data exchanges.

The Office of the 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 exchange programs. These processes help disseminate information among Federal, State and local agencies to make the benefits verification process more efficient and more accurate, and avoids the public’s cost in time and money if applicants had to provide this information on their own.

National Archives and Records Administration (NARA) - Approved Records Schedules Inventory and Progress on NARA Bulletin 2006-02
SSA schedules its records under agency-specific schedules or the General Records Schedule (GRS). The National Archives and Records Administration (NARA) maintains public access to the GRS at http://www.archives.gov/records-mgmt/grs/ while SSA-specific schedules may be found at http://www.archives.gov/records-mgmt/rcs/schedules/index.html?dir=3D/independent-agencies/rg-0047. In FY09, SSA submitted all required records schedules that met the requirements in NARA Bulletin 2006-2. SSA obtained approval for three of the four master files systems (Master Earnings File, Master Beneficiary Records, Supplemental Security Income Record, and Enumeration System). SSA’s request for approval of the Enumeration System
remains pending at NARA. However, SSA anticipates final approval by the U.S. Archivist in FY12.

**Implementation of Electronic Signatures for Interoperability**

The Social Security Administration has developed an Identity, Credentialing, and Access Management Program that includes plans to move paper-based signature processes to workflows with digital signatures. All of SSA’s workstations have the capability to produce documents and email with digital signatures (secure cryptographic signatures) and SSA email users currently have the ability to digitally sign email messages using their HSPD-12 Personal Identity Verification (PIV) credentials. Additionally, SSA uses PIV cards to digitally sign documents submitted to the Federal Register.

Within the scope of SSA’s applications, it implemented use of “electronic signatures” in the Internet Claim (iClaim) and the Internet Disability Reports (IDRs) applications. This implementation consists of a user checking a box affirming his/her 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 its existing web-based interactive applications. However, SSA offers electronic services allowing, “Click to Sign.” This is an assertion from an Internet client that they concur with the message on the screen and are agreeable to it.

**Electronic Means of Enhancing Public Participation in Government**

The agency’s Open Government portal, [http://www.socialsecurity.gov/open](http://www.socialsecurity.gov/open), provides information for the public and links to various activities in which the public can provide ideas and feedback on SSA programs and other initiatives. Additionally, SSA uses social media sites to notify the public of hearings and other activities where the agency is seeking input.

SSA has expanded on its initiative to provide additional datasets and there are currently 35 datasets and new visualizations available on Data.gov and its Open Government portal ([http://www.socialsecurity.gov/open/data](http://www.socialsecurity.gov/open/data)).

SSA is a partner agency in the E-Rulemaking initiative known as the Federal Document Management System (FDMS), which is publicly accessible at [http://www.regulations.gov](http://www.regulations.gov). SSA actively serves on several committees that continue to develop and modify applications in FDMS. These modifications ensure easier public access.

Executive Order 13563 on Improving Regulation and Regulatory Review. Earlier this year, President Obama outlined his plan to create a 21st-century regulatory system that is simpler and smarter and that protects the health and safety of the American people in a pragmatic and cost-effective way. As a key part of that plan, he called for an unprecedented Government-wide review of rules already on the books in order to remove those that are out-of-date, unnecessary, excessively burdensome, or in conflict with other rules.

On January 25, 2011, SSA issued a press release and posted information on its Open Government website requesting public comment about which of its regulations SSA should review to ensure they are not outmoded, ineffective, insufficient, or excessively
burdensome. After receiving public input, SSA developed a preliminary plan for a retrospective review of its rules that focuses on its process for updating the Listing of Impairments that SSA uses to evaluate disability claims under titles II and XVI of the Social Security Act. The listings are examples of impairments that SSA considers severe enough to qualify the individual for monthly Social Security or Supplemental Security disability benefits.

To promote public participation and transparency, SSA took several important steps, starting on May 26, 2011. First, SSA posted the preliminary plan on its Open Government website. Second, SSA published a notice in the Federal Register on June 02, 2011, inviting members of the public to comment on the plan. Finally, to ensure that critical stakeholders had an opportunity to weigh in, SSA reached out to professional associations, advocacy groups, and medical organizations to seek their input. Specifically, SSA looked for comments on its preliminary plan for updating the medical listings.

SSA has reviewed the comments it received and has developed the final plan accordingly.

Executive Order 13563 calls not for a single exercise, but for “periodic review of existing significant regulations,” with close reference to empirical evidence. It explicitly states, “Retrospective analyses, including supporting data, should be released online wherever possible.” Consistent with the commitment to periodic review and to public participation, SSA will continue to assess its existing significant regulations in accordance with the requirements of Executive Order 13563.

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

SSA’s Performance and Accountability Report provides detailed information and historical data regarding its improved performance as it relates to supporting its mission, strategic goals, and objectives. Current and previous reports are at, [http://www.socialsecurity.gov/finance/](http://www.socialsecurity.gov/finance/). You may find additional performance-related data at, [http://www.socialsecurity.gov/pgm/links_governance.htm](http://www.socialsecurity.gov/pgm/links_governance.htm).

In addition, the interagency portal [http://www.Performance.gov](http://www.Performance.gov) is 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.

Our country faces extraordinary challenges, and SSA must transform our Government to operate more effectively and efficiently. In support of the President’s 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:

1. **Increase the Number of Online Applications** To meet the growing demand for easy-to-use online services, SSA adopted a goal of increasing its online retirement filing rate to 44 percent in FY11 from 32 percent in FY09 and the online disability filing rate to 34 percent in FY11 from 21 percent in FY09.
SSA monitors the number of online retirement and disability applications filed to track its progress in meeting its priority goal. For FY11, 40.7 percent of retirement applicants who could file online did so, up from 36.8 percent last year. Additionally, 32.9 percent of disability applicants who could file online did so, up from 26.8 percent last year.

To support achievement of SSA’s goal, it launched a new national “Boldly Go” publicity campaign featuring Patty Duke and George Takei, who volunteered their time to help SSA produce these low-cost public service ads. While previous publicity campaigns focused on a specific online service, this new campaign highlights SSA’s entire suite of online services. Additionally, SSA continues to promote its online applications through public outreach activities at the national, regional, and local levels. While public outreach efforts about the benefits of the online applications can influence public behavior to some degree, the ultimate decision on which service channel (i.e., in-person, telephone, and internet) to use is up to each person.

2. Issue More Decisions for People Who File for Disability: SSA continues efforts to lower the disability backlog and accurately complete claims. SSA also ensures that people with severely disabling conditions receive an initial claims decision within 20 days of filing an application. Finally, SSA continues efforts to reduce the time it takes a person to receive a hearing decision to an average of 270 days by the end of September 2013. The combination of the economic downturn and baby boomers entering their most disability-prone years has resulted in a significant growth in SSA’s disability workloads and an increase in the number of days it takes to complete disability claims. By completing claims more accurately and efficiently, SSA expects to provide more claimants with decisions earlier in the process.

SSA’s two fast-track disability processes, Quick Disability Determinations (QDD) and Compassionate Allowances (CAL), use technology to identify claimants with the most severe disabilities and to allow SSA to speed its decisions on those cases. These expedited processes enable SSA to provide benefits quickly to people whose medical conditions clearly meet the Agency’s disability standards. From October 2010 through June 2011, SSA fast-tracked over 108,000 initial disability cases, 4.6 percent of all disability claims filed, through the QDD or CAL processes. SSA continues to refine the QDD predictive model and CAL selection software to maximize its capacity to identify these cases accurately. SSA added 12 new CAL conditions and adjusted the QDD predictive model in July 2011.

SSA has not wavered from its top priority- the moral imperative to eliminate the hearings backlog. 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 its review of cases that are likely to result in a favorable decision. SSA has cut the wait for a hearing decision from an all-time high of nearly 18 months in August 2008 to under a year in FY11.

In partnership with the Department of Health and Human Services on the use of Health Information Technology, SSA is working to drive down costs and speed up determination processes by making it possible to more quickly evaluate healthcare records of individuals with disabilities and distribute benefits more efficiently. SSA conducted two pilots with health care providers to test how it can use Health Information Technology to make its disability process
more timely, efficient, and accurate. In the first pilot, SSA formed a partnership with Beth Israel Deaconess Medical Center in Boston.

In February of 2009, the SSA and MedVirginia, Virginia’s Regional Health Information Organization began exchanging health information to help determine Social Security disability benefits. In FY10, SSA used Recovery Act funding from the American Recovery and Reinvestment Act of 2009 in awarding $13.3M in competitive contracts to fund technological support to 12 healthcare organizations that will provide the Agency with medical records through the Nationwide Health Information Network (NwHIN). Already, SSA is in production with eight of the 12 contractors and expects to receive electronic medical evidence from the remaining healthcare providers by the end of December 2011. Health IT at SSA has already demonstrated operational improvements, including an 18 percent (or 17 day) reduction in initial case processing time for health IT disability cases.

Additionally, SSA, in partnership with Veterans Affairs (VA) and the Department of Defense (DOD), developed a Joint Plan of Action with a goal of improving Communications, Collaborations, and Medical Information Sharing. The plan promotes rapid exchange of medical information from VA and DD, which improved service for Wounded Warriors and Veterans. The joint plan also includes a Centralize Pilot testing the efficiency of requesting medical information from a single DOD enterprise location. DOD provides responses to the DDSs in the five pilot sites (Colorado, North Carolina, Oregon, Virginia and Washington) utilizing the electronic processes to gather, package and send (via ERE) electronic medical records from all facilities in one response. Under the previous process, examiners sent request to more than 60 treatment facilities. The long-term plan is to use partnerships and Health IT to make SSA’s disability process more timely, efficient, and accurate.

3. Improve SSA’s Customers’ Service Experience on the Telephone, in its Field Offices, and Online: SSA continues to adapt its operations to keep pace with the public’s demand. Historically, persons primarily conducted their business with SSA in local field offices. Over the years, SSA has added 800 Number services and online services. Most recently, SSA have begun using video technology to connect the public with its representatives.

SSA tracks and reports on three performance indicators that measure SSA’s success in improving its customers’ experience no matter how they choose to do business with SSA. SSA’s telephone service remains a primary option for providing effective and efficient service to the public. Callers can speak to a telephone agent or use SSA’s automated services that are available 24 hours a day, seven days a week. In FY11, SSA answered calls in an average of 180 seconds with an average busy rate of 2.6 percent. SSA encountered obstacles in achieving its goal to raise its overall customer satisfaction rate from 81 percent in FY09 to 83.5 percent in FY11. In recent years, SSA’s most problematic area is customer satisfaction on its National 800 Number. SSA’s annual survey results indicated that the ability to get through the menu prompts and reach a representative was the aspect of its 800 Number services that consistently received the lowest ratings and had the strongest effect on overall satisfaction.

To address this issue, SSA redesigned its menu and prompts to reduce the time it takes callers to navigate the menu and select either an agent or their desired automated service. SSA implemented this new redesigned menu and call flow in May 2011.
SSA also engaged the services of a vendor to develop a new National 800 Number customer satisfaction survey. SSA will conduct this new survey on an ongoing basis throughout the year. This change will enable SSA to obtain real-time actionable data so it can immediately assess customer satisfaction with the new redesigned menu and call flow. SSA began using the new survey methodology in July 2011.

Citizen Access Routing Enterprise (CARE) through 2020 is the SSA service contract that will provide the public with continued access to automation and agent services on its national toll free number. The public, to make inquiries on their social security claims and benefits, utilizes the national toll free number. The CARE through 2020 service contract replaces two expiring contracts (Call Center Network Solution and the FTS2001 contract National 800 Number Network) with a single General Service Administration (GSA) Networx Universal contract.

CARE through 2020 directly supports the Agency Strategic Plan’s objective by positioning SSA to handle expected increases in call volume and potentially support future enhancements that would provide the public with additional options for communicating with SSA, such as enabling website visitors to interact with a telephone agent to help conduct their business while online. CARE through 2020 will continue to achieve target rates for the Average Speed of Answer and Agent Busy Rate in the National 800 Number performance goals. Furthermore, CARE through 2020 will continue to work at meeting its Annual Service Satisfaction targets as outlined in SSA's Annual Performance Plan.

This platform also provides SSA the ability to improve SSA’s telephone services and support SSA’s website visitors by supporting future initiatives such as Web Callback, Click to Communicate, Web Collaboration, and Web Chat through the CARE through 2020 investment.

4. Ensure Effective Stewardship of SSA’s Programs by Increasing Program Integrity Efforts: SSA is committed to sound management practices, which begin by maintaining policies and processes to ensure it pays benefits accurately and administers its programs efficiently and effectively. As SSA continues to address a surge in claims caused by the aging of the baby boomers and the economic downturn, SSA has also increased its activities to ensure the integrity of its programs.

To improve SSA’s Supplemental Security Income (SSI) payment accuracy further, SSA completed its nationwide expansion of its Access to Financial Institutions (AFI) program in FY11. Unreported bank accounts are one of the leading causes of SSI overpayments. Historically, money above the resource limit held by an SSI recipient is a leading cause of payment error. This program has enabled SSA to identify previously undisclosed bank accounts. By checking applicants’ reported bank accounts automatically and selectively searching for unreported accounts with financial institutions in a given area, SSA has reduced overpayments in areas where it is using AFI.

Non-home real property is buildings or land that are not the principal residence for a SSI recipient or his deemors. Undisclosed ownership of real property is a significant cause of SSI improper payments. Agency policy does not currently require routine searches for non-home real property.
SSA began a pilot that employs the use of two non-government websites to identify a more efficient process to locate undisclosed non-home real property. The pilot involves reviewing approximately 1,100 stewardship cases selected for August 2011 through October 2011. The objectives are to determine the effectiveness of using commercial websites to verify property ownership and to determine the associated task times, costs, and data accuracy. SSA published a Request for Information in the Federal Register to explore the availability of companies that can provide property data for the continental U.S., Puerto Rico, the Northern Mariana Islands, and internationally. Based on the pilot outcomes, SSA may explore the feasibility of integrating external property data with agency case processing systems. SSA is also determining if there are any legal impediments in using this type of online data, such as Privacy Act concerns. Based on pilot results SSA may recommend changes to policy and business processes related to identifying non-home real property, as well as the acceptance of the use of non-governmental websites to aid in the prevention of improper payments.

**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 SSA’s target programmatic systems. This ensures the correct collection of mandatory information at the point of input from its clients and this 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, there are numerous checks and edits 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. Employers 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 W2/W3) filed electronically by employers and third-party preparers with the Social Security Administration, contain fewer errors than those reported on paper. Currently SSA receives 86 percent of all wage reports electronically and process these reports much faster than paper reports.

The use of Electronic Death Reporting (EDR) by participating states has provided for accurate and timely receipt of death information provided to SSA.

The use of Enumeration at Entry for applications for original and replacement Social Security cards ensures the data for requests by legal permanent resident aliens received from the Department of State (State) via a data transfer from the Department of Homeland Security is accurate. The data received from the State both agrees with the data on State documents and helps to ensure the integrity of the data on SSA’s files.
Enumeration at Birth allows parents to request an original Social Security Number and card for their child at the same time that they provide birth certificate information to the state. Because the state then provides the information to SSA, the data on the SSN application will match the data on the birth certificate. This helps to ensure the integrity of the data on SSA’s files.

**Efforts to Comply with Section 508 Regarding Information Management**

*User Experience Framework*  The User Experience Framework (UEF) is a new tool and associated methodology used to implement user interface standards for SSA’s Internet applications. The UEF is a design and implementation approach employed to deliver user interfaces (e.g. screens) for internal and external SSA applications. The UEF consists of a collection of technologies and methods working together to design and build usable, accessible and reliable user interfaces. This framework takes the guesswork out of Section 508 compliance by including accessibility best practices in the framework.

*Improving Testing Tools*  During FY11, SSA developed and refined a standards based testing methodology including manual code inspection, automated testing, and usability testing with assistive technologies and individuals with disabilities for Section 508 compliance. The testing methodology is available to all internal staff and reinforced through in-person training and one-on-one consulting support. SSA also purchased an enterprise automated web testing software tool to improve Section 508 compliance of agency web pages and support the tracking of agency-wide compliance metrics.

*Expanded Technical Guidance and Support:*  During FY11, SSA drafted new technical guidance for web and web-based applications, accessible electronic documents, Global Information Systems (GIS), and mobile applications to accommodate new technologies, software development techniques, HTML standards, and emerging platforms like mobile phones and tablets. SSA also published its accessibility Best Practices Library on SSA.GOV to assist the agency’s third party vendors and contractors with interpreting and applying the Section 508 standards.

**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. There is about 12 minutes in reduced handling for an Internet retirement application compared to telephone and in-office applications. In FY10, SSA processed nearly 41 percent of retirement claims via the Internet with estimated savings of $16M.

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 see continuing increases in the percentage of retirement applications submitted online by 2012. Considering these factors, SSA estimates projections for additional savings between FY11 and FY19 at nearly $100M. These savings will allow SSA to process more of its work in a timely manner.
U.S. Agency for International Development

Information Technology Strategic Plan and Enterprise Architecture Transition Plan
Information Resources Management (IRM) Strategic Plan: The United States Agency of International Development (USAID) Information Technology Strategic Plan was recently updated and is available online at: [http://www.usaid.gov/policy/coordination/](http://www.usaid.gov/policy/coordination/).


Information Dissemination Management to the Public

Information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to agency information by the public: USAID organizes and categorizes information intended for public access on the Agency website, located at: [http://www.usaid.gov/policy/egov/inventory.html](http://www.usaid.gov/policy/egov/inventory.html).

Freedom of Information Act (FOIA) Compliance


Frequent requests for records are made available to the public at: [http://www.usaid.gov/about/foia/webfreq.html](http://www.usaid.gov/about/foia/webfreq.html).

Dissemination of Federal Research and Development (R&D) Funding to the Public
Public websites disseminating research and development (R&D) information 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
Inventory of formal agency agreements with external entities: 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](http://www.usaid.gov/policy/egov/usaid_portals_projects.pdf).

National Archives and Records Administration (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](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 USAIDs 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 continuing to research 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 in some applications including the E2 Travel system supported by General Services Administration (GSA), WebTA (for attendance and time reporting), USAID University (for on-line training), request and approval for teleworking, and for some use within acquisitions. USAID also uses electronic signatures for its voucher approval process in the Washington Office. This functionality allows USAID to efficiently and accurately forward vouchers electronically to the correct approving officials for their approval and signature. It also allows for the accurate electronic storage of these documents.

The Chief Information Officer (CIO) is actively pursuing funding and sponsorship for increasing the use of electronic signatures within USAID. At this point in time USAID has not collected data to support a claim that the use of electronic signatures results in a reduction in errors however it has reduced the amount of hard copy (paper) used in several processes.

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.

At USAID, the tools of assessing, learning, and information sharing are interrelated through the concept of performance management, which represents the agency’s commitment to increase its accountability for delivering effective development outcomes. Performance management is directly related to and informs strategic planning, budget formulation, program design, and program implementation. USAID Missions and offices are responsible for establishing performance management plans and targets to measure progress toward the intended objectives of their programs. They are also responsible for collecting data and reporting progress on key indicators in their annual performance reports.

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 reviews all new or updated content to ensure compliance with Section 508 regulations and requirements. USAID's Web Service's division has oversight of the vast majority of the Agency’s intranet and extranet content.
- The Agency leverages a software tool called AccVerify to validate the 508 compliance of intranet and extranet content.
- 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 has established Capital Planning and Investment Control (CPIC) process 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. 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). Because of this transformational process, the Agency has established and achieved measurable cost savings and/or cost avoidance for several initiatives. USAID expects to achieve significant cost savings from the following initiatives in the near future:

E-First Policy: The Agency had developed an E-First policy, which establishes a phased centralized management and authorization of IT solutions in order to increase USAID’s mobility and productivity.

Cloud Computing and Desktop Virtualization: USAID currently hosts its email infrastructure internally through roughly 115 desktop email servers and 40 mobile email servers worldwide. By moving to cloud-based email, USAID will eliminate physical assets and operating expenditures.
Server Consolidation: USAID is migrating its telecommunications infrastructure services to the cloud. Currently, services are centrally managed through an on-site data center. This migration will simplify management and reduce operating costs through the consolidation of the number of physical assets required to maintain the telecommunication infrastructure.