



FY 2013 ANNUAL REPORT TO CONGRESS:

E-GOVERNMENT ACT IMPLEMENTATION

OFFICE OF MANAGEMENT AND BUDGET
MARCH 1, 2014



EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

DEPUTY DIRECTOR
FOR MANAGEMENT

March 1, 2014

The Honorable Darrell Issa
Chairman, Committee on Oversight
and Government Reform
U.S. House of Representatives
Washington, D.C. 20515

Dear Mr. Chairman:

On behalf of the Director, the attached report is submitted pursuant to the E-Government Act of 2002 (P.L. 107-347), which requires the Office of Management and Budget (OMB) to submit an E-Government status report to the Committee on Oversight and Government Reform of the House of Representatives and the Committee on Homeland Security and Governmental Affairs of the Senate. This report provides a summary of information agencies are required to report under the E-Government Act and a description of compliance by the Federal government with other goals and provisions of the Act. This is OMB's eleventh annual report on the implementation of the E-Government Act. If you have any questions regarding this report, please call Kristen J. Sarri, Associate Director for Legislative Affairs, at (202) 395-4790.

Sincerely,

Beth Cobert
Deputy Director for Management

Enclosure

Identical Letter Sent to:

The Honorable Darrell E. Issa
The Honorable Elijah Cummings
The Honorable Thomas R. Carper
The Honorable Thomas Coburn

INTRODUCTION

Since the passage of the *E-Government Act of 2002* (P.L. 107-347) (E-Gov Act),¹ Federal agencies have made significant progress in using the Internet and other technologies to enhance citizen access to government information and services, and improve Government transparency and decision making. The E-Gov Act requires Federal agencies and the Office of Management and Budget (OMB) to report annually on their progress implementing the various provisions of the E-Gov Act, as described in more detail below.

OMB developed this report in accordance with 44 U.S.C. § 3606, which requires OMB to provide a summary of the information reported by Federal agencies and a description of compliance by the Federal Government with the provisions of the E-Gov Act. Additionally, consistent with previous E-Gov Act Reports, this report includes information required under Section 2(g) of the *Federal Funding Transparency and Accountability Act of 2006* (P.L. 109-282). Under this Act, OMB was required to oversee and report to Congress on the development of a website through which the public can readily access information about grants and contracts provided by the entire Federal Government.² The E-Gov Act, under Section 3543(a)(8), also requires OMB to report on certain information security activities. This information can be found in the annual report to Congress on agency compliance with the Federal Information Security Management Act of 2002. Previous reports to Congress are available online at: www.WhiteHouse.gov/omb/e-gov/docs.

The E-Gov Act includes a number of requirements for OMB and Federal agencies to ensure effective implementation of the Act. For example, the Act requires OMB to report on the management of the E-Gov Fund, development and oversight of various websites, and the development of IT workforce, disaster management, and geospatial policies. This report provides a summary of OMB and agency compliance with these requirements. This report is structured in numerical order according to the required sections of the E-Gov Act. For a description of reporting requirements and the corresponding report sections, please see Appendix P. This report is organized as follows:

- **Section I – E-Government Fund**
In accordance with Section 101 of the E-Gov Act (44 U.S.C. §3604), this section provides a description of projects receiving E-Gov funds in FY 2013, including funding allocations and results achieved.
- **Section II – Government-wide IT Workforce and Training Policies**
In accordance with Section 209 of the E-Gov Act, this section provides a summary of activities related to IT workforce policies, evaluation, training, and competency assessments.
- **Section III – Disaster Preparedness**
In accordance with Section 214 of the E-Gov Act, this section provides a summary of how IT is used to further the goal of maximizing the utility of IT in disaster management.
- **Section IV – Geospatial**
In accordance with Section 216 of the E-Gov Act, this section provides a summary of activities on geographic information systems and initiatives, and an overview of the Geospatial Platform.
- **Appendices – Compliance with Other Goals and Provisions of the E-Gov Act**

These appendices provide a description of compliance by the Federal government with other goals and provisions of the E-Gov Act:

- *Appendix A - Capital Planning and Investment Control Procedures for IT:* In accordance with Section 101 (44 U.S.C. § 3602(e)), this appendix describes agency activities pertaining to capital planning and investment control procedures for IT.
- *Appendix B - Enhanced Delivery of Information and Services to the Public:* In accordance with Section 101 3602(f)(9), this appendix describes agency activities that enhance delivery of information and services to the public.
- *Appendix C - Performance Integration:* In accordance with Section 202(b) of the E-Gov Act, this appendix describes what performance metrics are used and tracked for IT investments, and how these metrics support agency strategic goals and statutory mandates.
- *Appendix D - Accessibility:* In accordance with Section 202(d) of the E-Gov Act, this appendix provides URL's agency websites describing actions taken by agencies in accordance with section 508 of the Rehabilitation Act of 1973, as amended by the Workforce Investment Act of 1998 (P.L. 105-220).³
- *Appendix E - Government-Public Collaboration:* In accordance with Section 202(e) of the E-Gov Act, this appendix describes how agencies utilize technology to initiate government-public collaboration in the development and implementation of policies and programs.
- *Appendix F - Credentialing:* In accordance with Section 203 of the E-Gov Act, this appendix describes current activities agencies are undertaking to achieve interoperable implementation of electronic credential authentication for transactions within the Federal government and/or with the public.
- *Appendix G - Internet-Based Government Services:* In accordance with Section 204 of the E-Gov Act, www.USA.gov serves as an integrated internet-based system for providing the public with access to government information and services. In accordance with Section 207(f)(3), this appendix provides URL's for agency activities on www.USA.gov.
- *Appendix H - E-Rulemaking:* In accordance with Section 206 of the E-Gov Act, this appendix describes agencies' online electronic regulatory submission capabilities, specifically the usage of www.Regulations.gov and the Federal Docket Management System.
- *Appendix I - National Archives Records Administration Recordkeeping:* In accordance with Section 207(d) and (e) of the E-Gov Act, this appendix describes agencies' adherence to the National Archives and Records Administration recordkeeping policies and procedures for electronic information online and other electronic records.
- *Appendix J - Freedom of Information Act:* In accordance with Section 207(f)(1)(A)(ii) of the E-Gov Act, this appendix provides the URL's for agencies' primary Freedom of Information Act website.
- *Appendix K - Information Resources Management Strategic Plan:* In accordance with Section 207(f)(1)(A)(iv) of the E-Gov Act, this appendix provides the URL's for agencies' Information Resources Management strategic plans.

- *Appendix L - Public Access to Electronic Information:* In accordance with Section 207(f)(1)(B) of the E-Gov Act, this appendix provides URL's that contain agency customer service goals and describe activities that assist public users in providing improved access to agency websites and information, aid in the speed of retrieval and relevance of search results, and use of innovative technologies to improve customer service at lower costs.
- *Appendix M - Research and Development:* In accordance with Section 207(g) of the E-Gov Act, this appendix provides URL's for publically accessible information related to R&D activities and/or the results of Federal research.
- *Appendix N - Privacy Policy and Privacy Impact Assessments:* In accordance with Section 208(b) of the E-Gov Act, this appendix provides information regarding each agency's privacy impact assessment and provides URL's for agency privacy policies and privacy impact assessments.
- *Appendix O - Agency Information Technology Training Programs:* In accordance with Section 209(b) of the E-Gov Act, the appendix describes agency training programs for the IT workforce.
- *Appendix P - Description of E-Gov Act Reporting Requirements and Corresponding Report Sections.*

SECTION I: E-GOVERNMENT FUND

The E-Gov Act, under 44 U.S.C. § 3604, established an E-Government Fund (E-Gov Fund) to provide financial support to the innovative use of technology in the Federal government. According to Section 3604(a)(3), projects supported by the E-Gov Fund may include efforts to:

- 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; and,
- 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 accordance with Section 3604(e), the General Services Administration (GSA) is required to provide Congress with notification and a description of how E-Gov funds are to be allocated and how the expenditure will further the purposes of this chapter. The following table provides a summary of Fiscal Year (FY) 2013 funding allocations included in GSA’s notification to Congress:

Investment Area	FY 2013 Allocation*
Promote Transparency and Accountability – Accessible and Transparent Government	\$2.25 million
Accelerate Cross-Government Innovation - Cloud Computing and Security	\$3.75 million
Accelerate Cross-Government Innovation – Innovations in Technology	\$1.80 million
Promote Transparency and Accountability – Federal Funding Accountability and Transparency Act (FFATA) Implementation	\$2.20 million
Promote Transparency and Accountability – Performance Dashboards	\$1.75 million
TOTAL	\$11.75 million

*Amounts reflect the FY 2013 enacted appropriations for the E-Gov Fund per *Consolidated and Further Continuing Appropriations Act, 2013* (P.L. 113-06), including sequestration.

E-Gov project are used to improve government operations through the strategic use of IT to increase citizen participation in government and improve the transparency of Federal operations. In accordance with Section 3604(f), the following section provides a brief description of projects receiving E-Gov funds, and the results achieved in FY 2013.

Accessible and Transparent Government

Description

This investment area supports the on-going effort to make government data open and easily accessible to citizens and businesses. This includes improving public access to high value, machine readable datasets generated by Federal agencies on www.Data.gov, which provides citizens with access to approximately 184,000 collections of information, including 400,000 datasets from 144 agencies and sub-

agencies. Over 236 citizen-developed applications have been built by the public using the data provided on this website. It is the centerpiece of the global open democracy movement and has been emulated by over 39 US states, 40 US cities and counties, and 43 countries, seeking to increase transparency and accountability, while fostering innovation. The software powering www.Data.gov is open-source, allowing governments around the world to implement their programs faster and with less cost. It also provides descriptions of the Federal datasets, information on how to access the datasets, contact mechanisms, metadata information, and links to publicly accessible applications that leverage the datasets. End users are provided with opportunities to provide information feedback and ratings.

Results

- In FY 2013, www.Data.gov launched a comprehensive catalog of federal government datasets on an open source platform. The unified data catalog is based on an open source standard, making it easier to federate with other Federal agency catalogs, as well as those of states, cities, and counties.
- Seven new www.Data.gov Communities were launched in FY 2013.
- A web-based Application Programming Interface (API) catalog was built in FY 2013, which centrally aggregates web APIs posted on agencies' developer pages. A pilot API Key Management Program for Federal agencies was also established, providing a common API key for participating agencies on the use of Federal agency APIs.
- Collaboration with open data Presidential Innovation Fellows will continue in order to build the next generation of www.Data.gov, including enhancements to improve data discovery and use.

Cloud Computing and Security

Description

Cloud computing offers an opportunity to significantly improve the efficiency of the Federal government's IT infrastructure by reducing wasteful spending. By deploying cloud computing solutions, agencies can avoid costly IT infrastructure projects by reducing the amount spent on hardware and fluctuating program demands. To operationalize the benefits of cloud computing, the Federal government began the Federal Risk and Authorization Management Program (FedRAMP) in 2011. FedRAMP is a government-wide program that provides a standardized approach to security assessment, authorization, and continuous diagnostics for cloud products and services. This approach uses a "do once, use many times" framework that will reduce cost, time, and personnel restraints by avoiding redundancy.

Results

- FedRAMP implemented repeatable processes and standards for assessment, authorization and continuous diagnostics to support the transition of FedRAMP from initial operational capabilities, to full operations;
- FedRAMP issued eight Joint Authorization Board Provisional Authorizations and three Agency Authorizations to cloud service providers, for a total eleven FedRAMP compliant cloud service offerings available for use by agencies;
- Developed a comprehensive concept of operations, conformity assessment process, and continuous diagnostics framework for Federal agencies to leverage;
- As part of the FedRAMP process, cloud service providers must use a FedRAMP approved Third

Party Assessors (3PAO) to independently validate and verify that they meet the FedRAMP requirements. Twenty-four 3PAOs were accredited to ensure a consistent assessment process. FedRAMP leverages a rolling application process to accredit 3PAOs. A current list of FedRAMP accredited 3PAOs is available at: www.fedramp.gov; and,

- FedRAMP approved the American Association for Laboratory Accreditation (A2LA) to accredit FedRAMP 3PAOs. Through the use of technical experts as assessors, the A2LA assessment process involves a rigorous evaluation of technical competence of the 3PAOs, as well as an assessment of their compliance to general requirements. More information about the 3PAO accreditation program is available on the FedRAMP [3PAO website](#).

Innovations in Technology

Description

This investment area supports various initiatives that enhance citizen engagement by simplifying and improving access to Government information through increased use of mobile and web technologies. For example, this investment area supported initial funding for www.BusinessUSA.gov, a platform launched in 2012 that consolidates information and services from across the government into a single, integrated network for business owners and entrepreneurs. The www.BusinessUSA.gov website allows businesses to search through full range of Government information, programs, and services in a more streamlined manner. Other initiatives include efforts to implement the *Digital Government Strategy*, improve government mobile technologies, partner with the public to find innovative solutions to challenges facing the country, and improve citizen interaction with government through the *MyUSA project*.

Results

• ***Digital Government***

- The *Digital Government Strategy* is aimed at building a 21st century government that works better for the American people. The goals of the strategy are to enable the public to access high-quality digital government information on any device; ensure the government procures and manages devices, applications, and data in smart, secure, and affordable ways; and use government data to spur innovation and improve the quality of government services. In FY 2013, GSA established a *Digital Services Innovation Center* to enhance delivery of digital services across government and help agencies achieve the objectives of the *Digital Government Strategy*.
- GSA also updated government website domain guidance and procedures to help ensure all new digital services meet improvement guidelines and provide support to agencies.
- The *Mobile Application Development Program* was also launched, which included publishing testing guidance, piloting federal-crowd sourced testing on multiple devices, creating the Mobile Code Sharing Catalog, publishing mobile user experience guidelines, and publishing common Request for Proposal and Statement of Work language for mobile procurements.
- GSA developed www.sites.usa.gov, a shared service to help agencies focus on creating great content rather than on building systems to deliver that content.
- The *Digital Analytics Program* (a program offering advanced web analytics to Federal agencies) was also implemented in 3,000 government and military websites. All 24 Chief Financial Officer Act agencies are participating, providing an extraordinary array of web analytics and insight into website performance across government.

- **MyUSA**
 - The *MyUSA platform* is one of five initiatives that are part of the *White House Presidential Innovation Fellows Program*. The project aims to improve how citizens are able to interact with the government, reduce redundancy and duplication of effort, and provide a simplified, and more unified experience for citizens. The MyUSA platform continued to be developed in FY 2013, enabling agencies to build custom apps and integrate with the MyUSA user account tool.
 - An Unclaimed Money application was also developed. The application aggregates search results from multiple databases at the state and Federal level to present citizens with information about unclaimed money from the government. The application provides a single point of access to millions of dollars of unclaimed money, which is consistently a top search term and topic on www.USA.gov. The application is currently being tested for deployment on www.USA.gov;
 - Developed of a form completion application continued. This tool will result in agency savings, increased efficiency, and create a better experience for citizens. Additionally, integration of MyUSA with www.BusinessUSA.gov and www.Benefits.gov continued, which will allow these portals to create user accounts and provide better experiences for millions of users.
- **Challenge.gov**
 - The www.Challenge.gov website was launched in 2010 as a partnership between the Federal government and the public to seek innovative solutions through technical, scientific, and creative competitions. The platform enables Federal agencies to launch challenges and contests to leverage expertise and knowledge from the public. More than 260 challenges have been run since the program's inception, and have yielded extremely cost effective, creative solutions. The website has been visited more than 3.5 million times by people from 220 countries and territories, including over 11,000 U.S. cities, reflecting broad interest and commitment to engage citizens and tap into the creativity of experts outside government.
 - In FY 2013, the website received over 900,000 visits and hosted 80 challenges. Ten new agencies were also added to the Challenges “family,” which now includes 59 Federal agencies.
- **Federal Cloud Credential Exchange (FCCX)**
 - FCCX simplifies the method by which individuals log onto Federal websites. Without FCCX, individuals log into a government website and get a digital credential from each separate Federal agency. FCCX allows the public to securely access online services from multiple agencies without the need for separate passwords, and other digital identification. A FCCX pilot program began in FY 2013, which includes the Departments of Agriculture and Veterans Affairs, GSA, and the United States Postal Service.
 - In FY 2013, GSA created the FCCX Program Management Office in order to oversee the program, and issue policy guidance during the FCCX pilot implementation.
 - FCCX working groups were also launched to address various work areas, including a technical working group, liability working group, and a business model working group. A FCCX Customer Advisory Group was also launched to serve as a voice for agencies.

Federal Funding Accountability and Transparency Act (FFATA) Implementation

Description

In FY 2013, the FFATA initiative included www.USAspending.gov, a public-friendly website that provides easy access to information on government funds through contracts, sub-awards, grants, loans, and other mechanisms. The website was created in December 2007 to fulfill the requirements of the FFATA. Data on the website is provided by agencies to the website through the Federal Assistance Awards Data System and the Federal Procurement Data System which provides details regarding each Federal award. The dashboards presented on www.USAspending.gov provide agencies and the public access to details of various Federal contracts, grants, loans, and other types of spending online. The website also allows users to track progress over time. Additionally, the FFATA Sub-award Reporting System (FSRS) was added to the website in October 2010 to report data on first-tier sub-awards under grants and contracts subject to the FFATA reporting requirements. It also provides some visibility of Federal funds that flow through state governments to cities and counties. The website has proven itself useful to government and the public and has been used by Congress and a variety of non-Federal stakeholders including state governments, non-profit organizations, and organizations interested in Federal spending trends and transparency. Stakeholders have acknowledged the unprecedented levels of transparency the site provides; however, they have also identified areas of improvement both in the view and functionality of www.USAspending.gov and FSRS.

As reflected in the President's FY 2014 Budget and consistent with funds provided in the *Consolidated Appropriations Act, 2014* (P.L. 113-76), management of www.USAspending.gov will transfer to The Department of Treasury in FY 2014.

Results

• *USAspending.gov*

- The www.USAspending.gov website was enhanced in FY 2013 to display executive compensation for prime contracts and prime grants. An export feature was also added to show complete transaction details for both prime and sub-award data. Users are now able to export the data via CSV, TSV, XML, and ATom.

• *FFATA Sub-awards Reporting System (FSRS)*

- FSRS developed, tested and implemented a bulk upload module, an off-line capability for uploading large volumes of records which reduces timing-out errors and improves user satisfaction.
- FSRS also isolated and quantified system limitations that prevented sub-award reporting in FSRS. Clear instructions were published to help users navigate actions in FSRS, bypass reporting errors and comply with FFATA reporting requirements.
- Significant outreach to key stakeholders was also performed to help users work through issues, and give users a voice where none previously existed.

Performance Dashboards

Description

A key component of performance management is transparency of the key activities and related metrics of operations within agencies. The www.Performance.gov website was created to publicly share this type of information in support of the *Government Performance and Results Modernization Act of 2010* (P.L. 111-352). The performance dashboards on the website enable the public, Congress, Federal employees, and others to monitor progress being made in cutting waste, streamlining government, and improving performance. Specifically, www.Performance.gov provides information on government-wide initiatives related to procurement, financial management, human resources, technology, performance improvement, open government, and sustainability.

Results

- Established the Performance Management Line of Business charter, which includes agency contributions to cover operations and maintenance costs.
- Enhanced user experience by improving data collection capabilities for all agencies.
- Developed a data management framework that will allow for more robust reporting and search capabilities.

SECTION II: GOVERNMENT-WIDE IT WORKFORCE AND TRAINING POLICIES

Section 209 of the E-Gov Act requires the Office of Personnel Management (OPM), in coordination with OMB and the Chief Information Officers (CIO) Council, to analyze the personnel needs of the Federal government related to IT and information resource management. The Act further states that OPM, in coordination with OMB and the CIO Council, must identify where current training does not satisfy current personnel needs, and then issue policies to promote development of performance standards for training. In accordance with Section 209 of the E-Gov Act, this section provides a summary of FY 2013 activities related to IT workforce policies, evaluation, training, and competency assessments.

Center for Strategic Workforce Planning

In FY 2013, OPM created the Center for Strategic Workforce Planning within the OPM Employee Services group. The Center, created as part of a readjustment to help provide more technical assistance to the HR community, is instrumental in coordinating the efforts of the Federal IT workforce to meet their missions, specifically with regards to cybersecurity. The cybersecurity work function will be the focal point for Strategic Workforce Planning through FY 2015, with a particular emphasis on closing skill gaps in the workforce. For example, the Center assisted with the development of *OPM Memorandum, Special Cybersecurity Workforce Project*, issued to Federal agencies in July 2013. The Memorandum launched a special FY 2014 project to rapidly build a new statistical dataset of Federal IT cybersecurity positions across the government. The dataset, which will reside in OPM's Enterprise for Human Resources Integration data warehouse, will provide more insightful strategic workforce planning information about the Federal cyber workforce that is not currently available. For example, Federal positions performing cybersecurity work as a major duty will be labeled and inventoried into 31 specialty areas within several distinct work categories.

As part of this project, Chief Human Capital Officers, Chief Information Officers, and Chief Information Security Officers will partner with staff from their agencies to review and characterize the positions where cybersecurity work is performed as a major duty. The cybersecurity work function exists in over 39 occupational series, including the IT series 2210. The new characterization allows the skill sets for this type of work to be updated, and ensures alignment with the *National Cybersecurity Workforce Framework* issued by the National Initiative for Cybersecurity Education (NICE) in March 2013. The framework issued by NICE re-defines cybersecurity work, and provides a common understanding of and lexicon for cybersecurity work. It also captures dynamic changes that have occurred due to advances in technology. By FY 2015, the databank will be available to inform Federal agency decision makers about strategic workforce planning concerns. Additionally, the Center revised a government-wide Manager Satisfaction survey to capture FY 2014 data, using the new characterizations for cybersecurity work, so that cybersecurity hiring managers can opine more specifically on the quality of cybersecurity job applicants. These two new data sources will further inform future hiring decisions and practices.

SECTION III: DISASTER MANAGEMENT

Section 214 of the E-Gov Act requires OMB, in consultation with the Department of Homeland Security (DHS) and the Federal Emergency Management Agency (FEMA), to report on activities that maximize the use of IT for disaster management activities. This section, developed in consultation with DHS and FEMA, provides a summary of these activities, including how IT enhances crisis preparedness and response.

Disaster Assistance Improvement Program

Each year, approximately 50 presidentially declared disasters destroy homes and business, and disrupt the lives of hundreds of thousands of citizens across the nation. The Disaster Assistance Improvement Program (DAIP) maintains a government-wide, single portal for disaster survivors to submit electronic applications for assistance following a presidentially declared disaster. The mission of the DAIP is to ease the burden on disaster survivors by simplifying the process of identifying and applying for disaster assistance.

The DAIP created www.DisasterAssistance.gov, a website that consolidates disaster assistance information and application interfaces from multiple Federal forms of assistance (FOAs) into one place. This website provides a single source for disaster-related information, information regarding assistance programs, easy access to applications for assistance. Seventeen Federal agencies currently contribute to the portal, which offers application information for approximately 71 FOAs, as well as resources to help individuals, families, and businesses recover from disasters. Users can also access www.DisasterAssistance.gov to apply for Small Business Administration loans, and can receive referral information for FOAs that do not currently offer online applications. Additional benefits of www.DisasterAssistance.gov include:

- Reduces the number of forms users complete when applying for assistance;
- Shortens application time by providing assistance through an online questionnaire, which identifies opportunities to apply for assistance from multiple Federal agencies;
- Allows users to upload supporting documents related to their application (versus mailing paper records), monitor the status of their application online, and receive status updates via SMS text messaging;
- Ensures disaster survivors who may be displaced continue to receive benefits from non-disaster related assistance programs, while ensuring information is only shared with agencies selected by a user; and,
- Enhances data sharing among Federal agencies, which simplifies the application process for survivors.

In FY 2013, DAIP focused on providing disaster survivors access to needed assistance. In the days immediately after a disaster such as Hurricane Sandy, survivors are often displaced without access to their residence, traditional landline telephones and desktop computers. Providing access to critical recovery mechanisms via web-enabled mobile devices allows survivors to begin the recovery process sooner. DAIP greatly enhanced services around mobile optimized versions of www.DisasterAssistance.gov in time to address major disaster declarations in Fiscal Year 2013. Prior to Hurricane Isaac in FY 2012 and Hurricane Sandy in early FY 2013, only 4% of applicant inquiries came

from mobile devices. Following those hurricanes, the percentage increased to 25%. In FY 2013, 32% of applicant inquiries came from mobile devices. DAIP estimates the trend will continue, and has made mobile improvements a priority for the program moving forward. The program has optimized the website for mobile viewing through the universal page rendering site optimization project, and added SMS text messaging capabilities for application status changes. These changes have increased the distribution of disaster assistance information, and provided rapid access to applications and FOA's through www.DisasterAssistance.gov.

SAFECOM

SAFECOM is an emergency communications program within DHS, established in 2001 in response to the lack of emergency response interoperability. Although several government programs had made strides in addressing the issues pertaining to emergency response interoperability, much of the work was disconnected, fragmented, and often conflicting. SAFECOM facilitates the input of local and state emergency response practitioners, and has taken a stakeholder-driven approach to achieving its mission of advancing interoperable communications across all levels of government.

With over 60,000 distinct emergency response agencies across the country, SAFECOM provides a representative, formalized, and regular process to obtain input and feedback on its activities. SAFECOM created the Emergency Response Council (ERC) and Executive Committee (EC) to ensure emergency communications stakeholders have a voice in the development of nationwide planning efforts. The SAFECOM EC and ERC work with existing Federal communications programs and key emergency response stakeholders to address the need to develop better technologies and processes for the multi-jurisdictional and cross-disciplinary coordination of existing communications systems and future networks. The SAFECOM website 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.

In FY 2013, SAFECOM updated the annual SAFECOM grant guidance document to provide the most current information on emergency communications policies, eligible costs, technical standards and best practices for state, local, territorial, and tribal grantees seeking Federal funds for interoperable emergency communications projects. SAFECOM also updated the *Public Safety Communications Evolution Brochure* to help educate the public safety community and elected and appointed officials about the future of emergency communications. In addition, SAFECOM provided guidance and support to DHS's SAFECOM Office of Emergency Communications as it updated the National Emergency Communications Plan, and provided guidance and support to the Office of Emergency Communications in its delivery of state-wide and technical assistance to state, local, and tribal governments and first responder organizations.

SECTION IV: GEOSPATIAL

In accordance with Section 216 of the E-Gov Act, this section provides a summary of activities on common protocols for the development, acquisition, maintenance, distribution, and application of geographic information. This includes common protocols that maximize the degree to which unclassified geographic information can be made electronically compatible and accessible; promote the development of interoperable information systems technologies that allow widespread, low-cost use, and sharing of geographic data by Federal agencies, state, local, and tribal governments, and the public.

Geospatial Platform

The activities of the Geospatial Platform focus on the implementation of www.Geoplatform.gov as a mechanism for developing and delivering geospatial shared services across government. These activities support geospatial activities across Federal, state, local and tribal agencies, and help to improve the efficiency of government by making trusted geospatial data, services and applications more accessible, reliable, and less expensive to acquire.. These activities also generate cost-savings through the use of shared infrastructure and enterprise solutions.

The volume of geospatial information made available to agencies and the general public has increased through the expanded use of the Geospatial Platform. In FY 2013, Version 2.0 of www.Geoplatform.gov was released, which allowed the advancement of a collaborative effort to support geospatial activities. The Geospatial Platform was also integrated with www.Data.gov, a resource which increases public access to high value, machine readable datasets generated by the Executive Branch of the Federal Government. Major features of Version 2.0 include:

- ***National Spatial Data Infrastructure (NSDI) Strategic Plan***

The Department of the Interior (DOI) and its partners from the Federal Geographic Data Committee (FGDC) led an effort to develop a new strategic plan for the National Spatial Data Infrastructure (NSDI). Developed through extensive outreach and collaboration with Federal agencies, external partners, and the National Geospatial Advisory Committee, the plan describes a shared national vision for the NSDI, and outlines the actions the Federal government will take to contribute to this vision.

A new NSDI plan is important and timely because the FGDC has engaged in a series of strategic initiatives over the past several years, including the Geospatial Line of Business (Geo LoB) and Geospatial Platform, but the current NSDI strategic plan has not been revised for a number of years. Secondly, geospatial technologies, industries, and applications have evolved over the past several years, and our strategies need to be modernized to align with and leverage these changes. In addition, a recent report by the Government Accountability Office (GAO) on geospatial information reaffirmed the importance of improving coordination and reducing potential duplication and recommended the development of an updated NSDI strategy.⁴

- ***Geospatial Data and Technology Standards***

In FY 2013, the FGDC formally endorsed five geospatial technology standards to be used by all federal agencies that leverage geospatial information. Throughout FY 2013, the FGDC continued its strong support of external standards activities, consistent with the directives of [*OMB Circular A-119 on Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity*](#)

*Assessment Activities.*⁵ The FGDC and member agencies continued to participate in the International Committee on Information Technology Standards Technical Committee L1 (INCITS L1) Geographic Information Systems, the means by which segments of the geospatial community participate in American National Standards Institute and International Organization for Standardization (ISO) geospatial standardization activities. INCITS L1 serves as the U.S. Technical Advisory Group to ISO Technical Committee 211, Geographic Information and Geomatics.

The FGDC also continues to be an active participant in the Open Geospatial Consortium (OGC), an international industry consortium of over 460 companies, government agencies and universities participating in a consensus process to develop publicly available interface standards. FGDC Community members participate in the OGC working groups and interoperability programs, bringing the community needs into the OGC process.

- ***Geospatial Platform Marketplace***

The Geospatial Platform has also focused on the advancement of “Communities,” and the integration of the new Geospatial Platform Marketplace. The Geospatial Platform Marketplace is a new feature which allows agencies to post information regarding their planned geospatial data acquisitions for their partners to be able to view in an effort to facilitate collaboration and shared acquisition for data that are of interest among multiple agencies. “Communities” are sections of the website designed specifically for collaboration within communities of interest where users can highlight and share their maps, data and tools. Additionally, the Geo LoB has been instrumental in advancing the development of the new Strategic Plan for the National Spatial Data Infrastructure, a major initiative that will bring DOI and all Geo LoB partner agencies considerable benefits for years to come.

APPENDICES: COMPLIANCE WITH OTHER GOALS AND PROVISIONS OF THE E-GOV ACT

These appendices provide a description of compliance by the Federal government with other goals and provisions of the E-Gov Act. These appendices are listed in order according to the corresponding sections of the E-Gov Act. The information within the appendices is organized alphabetically by department, then agency.

APPENDIX A: CAPITAL PLANNING AND INVESTMENT CONTROL PROCEDURES (CPIC) FOR IT

The E-Gov Act, under 44 U.S.C. § 3602(e), requires OMB to oversee implementation of the E-Gov Act in a number of areas, including capital planning and investment control for IT. This appendix describes agency activities that pertaining to capital planning and investment control procedures for IT.

Department of Agriculture

USDA published the department-wide CPIC Guide and has started to implement the USDA Integrated IT Governance Framework (IITGF) to provide a framework for project management and IT governance that incorporates best government and commercial practices through a consistent and repeatable process. The IT governance process provides a standard structure for planning, managing and overseeing IT investments over their entire life cycle, reducing overall project risk. The governance process also provides an effective vehicle for adopting and propagating best practices in IT management. By managing and governing projects from an enterprise perspective, USDA will be better positioned to take advantage of economies of scale, IT commodity consolidation, and shared services. Furthermore, this enterprise perspective enables improved compliance with the Clinger-Cohen Act and other legislative and regulatory requirements that require USDA to manage and govern its IT projects at an enterprise level.

In addition to focusing on the planning, development, and operation and maintenance of individual IT projects, USDA also works to ensure the overall portfolio of IT projects achieves alignment with USDA strategic goals, and maximizes the return on investment. For example, in FY 2013 the USDA Enterprise Data Center (EDC) saw a 22% rate decrease for its private government cloud Infrastructure as a Service and Platform as a Service. The rate decrease achieved \$19.40 million in cost-savings in FY 2013 compared to FY 2012 rates and volumes, and is primarily due to data center consolidation within USDA. Additionally, USDA is projected to achieve \$1.0 million in cost-savings by consolidating helpdesk support under a central contract that is structured on a cost-per-call basis, and designed to decrease the cost of each incident ticket as the volume of tickets increases.

Department of Commerce

DOC's IT CPIC process integrates monthly reviews of major IT investments, with monthly Commerce Information Technology Review Board (CITRB), TechStat sessions (as needed), site visits, and follow-up interviews (when appropriate) to illuminate and resolve project oversight concerns. This integrated process provides a mechanism for identifying issues, monitoring subsequent progress and, with the support of the senior managers who serve on these boards, aids the CIO in facilitating and promoting cost effective enterprise solutions.

The effectiveness of this process is aided by the presence of non-IT senior management including the

Chief Financial Officer, Budget Director and Chief Acquisition Officer as members of the CITRB and TechStat boards. For example, the National Weather Service (NWS) had several programs which had components involved in disseminating weather information. At the suggestion of the DOC CPIC team, in April 2012, the CIO invited the NWS and the National Environmental Satellite Data and Information Service (NESDIS) to provide a strategic portfolio review of their systems. During the review, the NWS and NESDIS presented capability-centric views of shared services that cut across the currently siloed IT investments. During the meeting and in follow-up action items, the Board endorsed a more holistic enterprise view, and encouraged the development of more detailed project plans and clearer project management authority to implement this vision.

Additionally, at a CITRB of the NexGen Air Transportation investment, held in August 2012, the National Oceanic and Atmospheric Association (NOAA) presented plans for an Integrated Dissemination Program that would support dissemination services for a variety of programs. This included providing services for Next Generation Air Transportation, the NWS Telecommunication Gateway (NWSTG), and the Centralized Distribution Service component of the Ground Readiness Program. NOAA envisioned an Integrated Dissemination Program (IDP) that will manage these projects holistically to deliver enterprise dissemination services in a cost effective manner. However, in the monthly dashboard review process the DOC expressed concern regarding the inadequacy of project management resources for this effort, as well as lack of evidence of tangible progress toward the ambitious goals.

In early FY 2013, NOAA replaced the interim project manager of IDP with someone with extensive technical and managerial expertise and gave him a greater programmatic authority. During 2013, the Commerce CPIC team periodically conferred with NOAA to assess progress in developing detailed project plans and acquisition strategies. In the summer of 2013, NOAA moved forward with formal plans to consolidate the dissemination aspects of NWSTG, Ground Readiness and NextGen Air Transportation. Using the IDP, NOAA is moving to a shared services model for disseminating environmental data (e.g., weather, hydrologic, climate products) to internal and external users, in a more effective and efficient manner.

Department of Defense

The Capital Planning and Control processes employed by DOD are designed to optimize information IT investments by maximizing value, assessing and managing risks, and fulfilling DOD responsibilities. IT investment choices, priorities, and resources are managed through the direction and oversight conducted by the CIO. The CIO's oversight includes programs and capabilities the CIO is directly in charge of, as well as those capabilities led by partners and stakeholders. In each case, it is critical to ensure that solutions across the DOD can operate together, share information, and improve overall capabilities without causing unexpected problems or interference. Consequently, the CIO is designated to ensure that programs are accountable and comply with the established rules, policies, and standards of DOD.

Optimizing IT investment and ensuring accountability and compliance with policy and guidance is made challenging by the distributive nature of program decisions spread across three major DOD processes. The first is the Joint Capabilities Integration Development System (JCIDS), which supports the Chairman of the Joint Chiefs of Staff and the Joint Requirements Oversight Council (JROC) in identifying and assessing joint military capability needs. Second, the Planning, Programming, Budgeting and Execution (PPBE) system seeks to provide operational commanders the best mix of forces, equipment, and support attainable within fiscal constraints. Third, the Defense Acquisition System (DAS) manages the nation's investments in technologies, programs, and product support.

The DOD CIO engages in the JCIDS, PPBE, and DAS processes, and establishes DOD IT policies. The DOD CIO portfolio management policy assigns responsibilities for the management of DOD IT investments as portfolios to ensure IT investments support DOD's vision, mission, and goals, ensure efficient and effective delivery of capabilities to the warfighter, and maximize return on investment. For example, the Army began migrating 1.40 million mailboxes from Army-owned legacy email systems to the Defense Information Systems Agency Enterprise Email service in February 2011. The Army attained significant results through this migration, including:

- A single user identity for the entire career of a DOD member;
- Enforced two-factor, Public Key Infrastructure-based logon using common authentication credentials (reducing vulnerability inherent in using passwords);
- Reduced attack vulnerability by retiring over 500 mail servers and associated infrastructure, and eliminating enclave variations;
- Cost-savings of \$75.0 million per year and true cost transparency;
- Standardized technology and business processes across the enterprise;
- Consolidated incident reporting and coordinated problem resolution; and,
- Established configuration management.

These results contribute to a more effective and secure capability, greater stewardship of resources, and global accessibility. Supported by the Army's success with enterprise email, in September 2013, the DOD CIO designated the DOD Enterprise Email as an Enterprise Service for the Joint Information Environment. As a result of that designation, all DOD Components must develop an enterprise email implementation plan to initiate implementation to enterprise email no later than the first quarter of Fiscal Year 2015. Looking ahead, the DOD CIO, in coordination with other DOD components, will continue to work to reform IT acquisition and ensure that the DOD's IT investments are streamlined, deliver required capability, require fewer decision points and paperwork, reduce the "time to market," and drive more efficient IT resource management that support Federal green IT initiatives.

Department of Education

ED uses the G5 grants management system to promote shared development of common business processes, data, information, applications and technologies within grants-making offices, and to promote interoperability with other Federal agencies and external resources. ED has outlined a strategy called the Grants Management Roadmap in order to migrate existing functionality and systems into G5, enabling a reduction in the current IT investments or systems and providing a path for new functional requirements to be incorporated.

The CPIC process benefits the G5 roadmap by helping increase its effectiveness and efficiency through periodic assessments of its value as a business service to its customers. The annual portfolio selection process assesses the G5 investment's current funding needs and gives the investment owner the opportunity to reassess the service and justify any funding modifications. The process assesses whether the G5 investment is still adding value, and if it's being effectively managed based on planned performance measures and portfolio selection criteria. The process also identifies areas for improvement as reflected by lower score results in assessed areas. As part of the control and evaluate phases, an annual

program assessment is conducted to evaluate the G5 investment over several key program management criteria. This helps ED identify troubled management areas within the investment, make suggestions for improving the investment's health (if necessary), and maintain a positive and collaborative communication with the Office of the CIO. This exercise helps establish management and performance metrics, as well as plans for improving governance and management activities, operating procedures, and other plans for improvement to ensure the investment is meeting its customers' business needs while performing well from the program management perspective.

Department of Energy

The DOE At Your Service (DAYS) IT Service Management ServiceNow solution was identified in December 2012 as part of DOE's shared service delivery model, and is being managed through DOE's CPIC process. The DOE ServiceNow solution provides CIO customers with service desk capabilities, including asset management in a configuration management database and integrated solutions for IT change management, IT portfolio and project management and project reporting requirements, service catalog hardware and software provisioning, employee on-boarding, and end user self-service. The project went live in July 2013 with an online service catalog, incident management, change management, project management, asset management, and end-user self-service. The implementation of DAYS has yielded business benefits such as automated approvals, automatic task creations, automated forms to promote common best practices resulting in significant cost savings and efficiencies.

Department of Health and Human Services

HHS developed and implemented CPIC and Enterprise Performance Life Cycle (EPLC) policies and processes to enable effective IT project, program, and portfolio management across its 11 Operating Divisions and the Office of the Secretary. In FY 2013, HHS and its operating divisions undertook more than 450 IT projects and conducted reviews to ensure that the IT projects were meeting their planned budgets and schedule and the projects were delivering the requirements established by the business owners. The CPIC and EPLC policies and processes help HHS effectively manage and govern IT. For example, HHS participated in a number of TechStats completed by HHS components in FY 2013, analyzing investments throughout the department. These TechStats included reviewing IT investments at the Center for Disease Control, the Centers for Medicare and Medicaid, the Administration for Children and Families, the Substance Abuse and Mental Health Services Administration, the National Institutes of Health, the Health Resources and Services Administration, and the Indian Health Service. The HHS TechStat team will follow up on the results of the review sessions to ensure the health of the investments remains intact, and to capture best practices and lessons learned.

Department of Homeland Security

The Disaster Assistance Improvement Program (DAIP), an e-Government initiative comprised of 17 Federal agencies and managed by DHS, has incorporated CPIC functions into all of its Program Management Office (PMO) functions. The DAIP PMO uses a variety of CPIC tools to manage budgeting, risk, schedule and reporting using OMB standards, DHS directives, Federal Emergency Management Agency (FEMA) policies, and industry standard best practices. DAIP implemented a transparent annual budgeting and funding process to support the diverse needs of contributing partners and address the need for performance metrics. DAIP's CPIC processes (such as planning, controls and reporting) allow management to plan funding, and manage and execute against that plan. All DAIP investments are planned with the oversight of the DAIP Executive Steering Committee, which represents each participating Federal agency partner, and with input provided by the Integrated Project Team. Planned investments in DAIP are examined using cost-benefit analysis tools and weighed against

the established enterprise architecture model targets prior to funding. DAIP projects are actively managed using a unified risk register, detailed time and expense tracking, earned value management controls, and operational analysis tools.

DAIP has demonstrated success in applying CPIC practices to achieve effectiveness, efficiency and cost avoidance. For example, DAIP has embedded CPIC processes to transparently report risk, funding, and performance to DHS, DAIP funding partners, OMB and the Government Accountability Office. DAIP also has reduced the management overhead needed to manage budgeting and reporting to the 17 Federal partners. Additionally, by using standardized portfolio analysis tools, DAIP is able to better select and control ongoing IT projects within the program to avoid duplication and increase use of existing services. The DHS CIO has recognized DAIP's progress towards a mature method of planning and executing successful outcomes using CPIC based practices in the most recent DHS CIO Program Health Assessment with a "green" rating of 5 out of 5.

Department of Housing and Urban Development

HUD's IT capital management process comprises all the elements of traditional CPIC as well as activities focused on the development of HUD's IT Budget. Through the IT capital management process, IT investments are selected and then continually monitored and evaluated to ensure each chosen investment is well-managed, cost-effective, and supports the mission and strategic goals of the organization. During the annual IT budget formulation process, HUD reviews each IT investment in terms of the validity of its business case and its resource needs, and compares and evaluates those investments with the other IT requests for funding in the portfolio. The proposed inclusion of new and existing IT investments is evaluated on the basis of a number of criteria, which includes risk management and measurable benefits. A specific example of how HUD selects and monitors IT investments that directly result in measurable operational benefits is the new Integrated Budget Forecasting Module (iBFM), which is an operational asset in the IT portfolio. HUD reviewed the funding justification for iBFM, which explained how the requested funding would reduce the risk of understating or overstating budgetary needs for the Rental Assistance portfolio, and contribute to the accuracy of data in iBFM, therefore helping to reduce the number of late Section 8 payments. The IT decisional document explained how better management controls improve financial management, in particular, enabling HUD to more accurately monitor program expenditures and forecast program needs.

HUD IT investment managers are required to enter their operational performance metric targets in the eCPIC system, and report the actual results. The review of the results of operational performance metrics is an integral part of the IT investment assessment process, and the data in eCPIC is the authoritative data source. The improvements in data accuracy and granularity provided by iBFM have helped HUD achieve an annual reduction of hundreds of late payments since iBFM was implemented.

Department of the Interior

In 2013, the DOI CPIC team continued to improve its procedures through the establishment of a performance baseline management policy. The performance baseline management policy is intended to provide clear direction for IT investment managers explaining how to manage baselines as DOI continues to work to mature its management of the IT portfolio baseline. In addition, the DOI CPIC team is driving IT governance reform. During 2013, DOI established the Support Services Board (SSB), which oversees a number of IT investments. The DOI SSB, formerly known as the Office of the Secretary Investment Review Board, surveyed the portfolio and identified a need for a practical approach to meet business transformation objectives. To satisfy this need, the DOI CPIC team collaborated with the DOI Enterprise

Architecture team to develop Line of Business Segment Roadmaps, which are strategic implementation plans geared towards improving the delivery and efficiency of business services. They are also intended to ensure any decisions made regarding the portfolio are aligned with priority investments; prioritize activities with business needs and funding; identify investments for consolidation, replacement or retirement; sequence investments and activities on a timeline for action; serve as a living document to guide the business on an ongoing basis; and identify areas for increased IT cost-savings and/or efficiencies in spending.

Department of Justice

In an effort to leverage the effectiveness of capital planning and investment control procedures, DOJ components are working with the DOJ OCIO Vendor Management Office to promote IT cost savings through consolidated purchasing, price sharing, and strategic sourcing. In September 2012, the FBI executed a "Network Delivery Order" for CISCO Network Products and Services. This "SWEEPS" contract permits the FBI to provide blanket coverage for the current network inventory as well as cover all CISCO equipment with SMARTnet maintenance at an aggregated level versus each program having to establish individual maintenance service agreements on individual orders. This enterprise maintenance agreement has resulted in a significant reduction to equipment maintenance costs. The terms of the FBI agreement also allows other DOJ components to use this "SWEEPS" contract. By leveraging the FBI contract, the Federal Bureau of Prisons (BOP) executed a CISCO Maintenance Agreement in FY 2013, which will result in BOP cost-savings in FY 2014. As a follow-on activity, the Vendor Management Office within the OCIO office reviews all CISCO equipment maintenance procurements to expand the SWEEPS contract across all of DOJ with the expectation of additional savings in the future.

Department of Labor

In September 2012, the Office of the CIO (OCIO) finalized the migration of the Capital Planning and Portfolio Management tool to a shared service provider, and DOL's locally hosted eCPIC application migrated to the GSA cloud-hosted environment. This initiative was implemented to achieve significant benefits and cost avoidance, and to leverage GSA's IT infrastructure for increased availability. Throughout FY 2013, DOL realized cost-savings in many areas, including IT infrastructure costs, maintenance costs, and application service costs. As part of the benefit of being hosted by GSA's cloud hosted environment, DOL is no longer required to complete application patches and/or upgrades to the system, and was able to eliminate a previously planned technology refresh scheduled for FY 2014. DOL was also able to offload and utilize three dedicated servers and server rack space for other OCIO initiatives. Additionally, with the decrease in technical support service, DOL has been able to utilize OCIO resources to assist with the development of the eCPIC application to an enterprise Portfolio Management capability. In the long term, this may allow DOL to avoid procuring another application at added cost.

The DOL OCIO continues to manage a version of the eCPIC application, and has realized an increase of application availability from approximately 95% to 99.9% of standard business hours. Another intangible benefit realized from this migration is the increase in workforce mobility. While adhering to all agency security standards, DOL eCPIC users are able to access this application from their home offices and other remote offices. Migrating to an interagency cloud-based environment allows DOL users to access the eCPIC site via a website interface with an approved secure login. DOL users also experience decreased application downtime for upgrades and maintenance, and increased application availability.

Department of State

The Foreign Assistance Coordination Tracking System (FACTS) Program is an example of how effective CPIC procedures have benefited Federal agencies across the government. The FACTS Program centralizes and consolidates all State and USAID foreign assistance planning, budgeting, and performance reporting, including other Federal agencies (DOD, DOC, DOL, HHS, and the Peace Corps) that implement the President's Emergency Plan for AIDS Relief (PEPFAR). FACTS Info enables faster global data collection using fewer man hours, and facilitates comprehensive and accurate reporting.

The FACTS Program has achieved efficiencies through the use of effective CPIC procedures, including a TechStat. Following a February 2010 TechStat session, the functionality of the Country Operational Planning and Reporting System (COPRS) was merged with FACTS Info, and COPRS was eliminated. Since the TechStat, the number of users of the system has grown from 700 to over 4,200 in over 175 countries. With the growth of users, senior management recognized that the current FACTS architecture can no longer support future software enhancements. In FY 2013, the FACTS program kicked off an independent Analysis of Alternatives (AOA) to determine the optimal Next Generation system architecture. The AOA coordinator worked with representatives from the FACTS Executive Steering Committee stakeholder groups who served on a Technical Evaluation Panel (TEP) to evaluate and recommend an alternative to the FACTS Next Generation system platform. The AOA coordinator, in cooperation with the TEP, reviewed several alternatives including Budget Formulation and Execution Line of Business offerings, commercial off-the-shelf systems, government off-the-shelf systems, and multiple cloud alternatives, including Solution-as-a-Service and Infrastructure-as-a-Service (IaaS). The FACTS program presented a recommendation to the Executive Steering Committee members, who voted to implement a hybrid cloud-based Platform-as-a-Service (PAAS) solution, and to expand the implementation of the existing IaaS cloud hosting agreement.

A FACTS Program cost benefit analysis was completed in FY 2013, and was based on the implementation of the Next Generation system in a hybrid PAAS solution. The analysis indicated a positive return on investment and a cost savings of \$2.0 million beginning in FY 2016. The current FACTS Info system aligns with the State/USAID Strategic Plan and the system modules are designed to meet the needs of the foreign assistance business processes, following the recent guidance from the Secretary's Quadrennial Diplomacy and Development Review strategy.

Department of Transportation

The National Highway Traffic Safety Administration (NHTSA) has continued to build new CPIC process and mature existing processes, promoting strong collaboration among business and IT executives, enabling thorough investment oversight, and ensuring effective program management. NHTSA has demonstrated the effectiveness of its CPIC processes with the Crash Data Acquisition Network (CDAN) Major IT investment. CDAN will merge and consolidate the functionality of multiple disparate traffic safety systems into a unified IT Investment that operates in a modern, virtualized environment. The scope of the modernization includes collection of data, storage and analysis of data, and distribution of output data, essentially modernizing the full life cycle of the crash data collection and management from point of entry in the field through distribution to users.

The initial schedule for the CDAN investment was based on high-level scope and objectives identified in FY 2012, with projected cost savings resulting from the incremental consolidation of system functionality and subsequent shutdown of legacy systems expected to be achieved in in FY 2016. To ensure thorough planning of modular, interrelated development efforts for CDAN, NHTSA performed an analysis of alternatives and detailed planning for the project in FY 2013. These efforts identified risks

and dependencies that prompted the logical restructuring of the iterations related to CDAN IT development. Working through the NHTSA Investment Review Board (IRB), resources were reprioritized to ensure these critical planning and funding efforts were completed with minimal overall schedule impacts. While the decision resulted in a slight delay of the development phase of CDAN, planning costs were reduced by leveraging the IRB-identified resources. Furthermore, the planning and subsequent IT investment re-baseline resulted in minimal overall investment delays, preserving the overall return on investment for CDAN with cost savings still projected to be realized beginning in FY 2016.

Department of the Treasury

In 2011, Treasury revised their CPIC guide to provide standard policy and guidance to Treasury bureaus in the performance of capital planning functions. Fiscal Service (FS) has used the guide in developing and reporting cost schedules and performance information during annual, quarterly, and monthly reporting for the Do Not Pay Business Center (DNP BC) investment. The DNP BC provides a centralized business center to access data and analytical services to help detect, prevent, and recover improper payments. The DNP Portal is used by agencies to verify information about potential and actual recipients of Federal payments or benefits. To the extent permitted by law, the DNP BC employs data analytics to help Federal users reduce the amount of improper payments made in Federally-funded programs. The DNP BC allows agencies administering federal programs to better utilize technology to access eligibility information in a timely, more cost effective manner. The long-term strategic direction is to assist agencies in using database checks and analytics to identify improper payments through seamless integration into the Treasury payment stream. The DNP BC supports FS's mission of promoting the financial integrity and operational efficiency of the U.S. government.

During FY 2013, new requirements were identified due to the *Improper Payments Elimination and Recovery Improvement Act of 2012* (P.L. 112-248) for DNP to support payment verifications for Executive Branch agencies.⁶ To adjust for the development of these requirements, including the integration of DNP data checks against payment information submitted to Treasury for disbursement, DNP restructured its Development, Modernization, and Enhancement (DME) plans, and began work on previously unscheduled DME. Plans to include the functionality slated for FY 2013 were moved out to FY 2014 and FY 2015 releases. Through Treasury's monthly reporting process, DNP started reporting cost and schedule variances, while waiting for approval of a Baseline Change Request (BCR), which was approved in June 2013. The DNP investment was monitored at the CPIC Monthly Review meetings and analyzed through cost, schedule and operational performance metrics and monthly reports. The FS CPIC team and the DNP program managers coordinated and monitored the new IPERIA-related DME activities through monthly variance reporting, while re-planning DME activities and preparing the DNP annual budget submission. We previously estimated that by reducing the amount of improper payments, DNP BC would achieve a gross cost-savings of \$12.50 million in FY 2013. By reducing the time employees spend verifying eligibility and payment accuracy, Treasury also estimates nearly \$9.60 million in gross cost-avoidance in FY 2013, for a total savings of \$22.10 million for FY 2013.

Department of Veterans Affairs

The VA Office of Information Security is a centralized effort that is independent of the VA Administration. It is responsible for maintaining the security and privacy of the personal data, in storage and transmission, for over 26 million Veterans. The Enterprise Security and Privacy program uses its network scanning capability Visibility to Everything (V2E), which is an expanded view of the endpoints in the IT network. This tool provided critical information to VA facilities about equipment connected to their local IT networks. This information was used to proactively address security and privacy concerns

by taking action to remove improperly secured equipment from the network. In FY 2013, the Enterprise Security and Privacy program distributed a Security Calendar to help VA employees plan and carry out roughly 30 security and privacy related actions tied to the on-going Continuous Readiness in Information Security Program effort. The investment also addresses the security and privacy elements that are a part of the increased use of mobile IT equipment such as the new generation of phones and tablet devices. Additionally, VA is pursuing more cloud computing opportunities and has a growing number of academic affiliates and business partners. These data exchanges are outside the VA IT network; however the investment will maintain data integrity and security whether in transmission or in storage by establishing secure and maintainable channels thru the use of partner extranet connection to the VA IT network from outside the domain.

U.S. Agency for International Development

PortfolioStat is a tool that agencies use to assess the current maturity of their IT portfolio management process, make decisions on eliminating duplication, augment current CIO-led capital planning and investment control processes, and move to shared solutions in order to maximize the return on IT investments across their IT portfolio. USAID has worked extensively on PortfolioStat for USAID in FY 2012 and FY 2013, including creating a plan to reduce duplicative commodity IT. The USAID PortfolioStat lead, in partnership with the Bureau for Management's Chief Information Officer (M/CIO), submitted a plan to consolidate USAID's commodity IT services and establish measurable financial goals for reduced spending through more consolidated commodity IT and interagency shared services. USAID's annual PortfolioStat activities have included the following mandatory actions:

- Completed a high-level survey of agency IT portfolio status;
- Completed an information request for specific types of commodity IT investments that will be used to baseline the maturity of agency portfolios;
- Drafted an action plan to consolidate the commodity IT spend under the CIO, and established a measurable financial goal to reduce total IT spend based on more consolidated commodity IT buys and intra-agency shared services;
- Completed the consolidation of a number of commodity IT services (including email, human resources support, data center hosting, and public-facing websites); and,
- Documented and catalogued successes, challenges, and lessons learned from the process.

Environmental Protection Agency

EPA's Central Data Exchange (CDX) is the electronic gateway for environmental data entering the agency and serves as EPA's Node on the Environmental Information Exchange Network (EN). CDX enhances the timeliness, quality and availability of data for EPA programs and their stakeholders. CDX provides cost effective shared technology services that replace over 70 different independent data collection processes at EPA with a single interface. CDX supports the EPA's key mission functions of Environmental Management and Regulatory Compliance and Enforcement and achieves the agency's strategic goals by collecting information used to implement and monitor compliance requirements for greenhouse gases, air and water quality, site cleanup, chemical safety and pollution prevention. CDX serves as the Information Sharing segment of EPA's business architecture, and contributes to the overall vision by providing a set of reusable information sharing services. The investment also supports EPA's strategy of advancing state, tribal, and international partnerships. The EN improves data quality and reduces the burden of environmental reporting and information exchange among state and tribal partner

governments. Reusable CDX technology services ensure that EPA program offices and partner governments meet standards for identity management under the Federal Information Security and Management Act; and legal non-repudiation and electronic signatures in accordance with the Cross-Media Electronic Reporting Regulation.

CDX utilizes the CPIC process to build, analyze and review the investment to present the most comprehensive business case. This investment control process involves three major steps, including the initial budget forecast, CPIC team analysis of data to identify potential gaps in the investments and feedback about the investment, and the development of a budgetary business case which is reviewed by the agency program manager and CPIC team. CDX achieves cost-avoidance as a result of efficiencies gained through time savings for government employees. By re-using centralized services, the EPA program offices and Environmental Information EN partner governments will avoid redundant investment in the development and operations of information exchange and identity management services. The central components of CDX will play a key role in achieving burden reduction through streamlined transactional services.

General Services Administration

Through the CPIC process, proposed IT investments indicate whether the investment in whole or in part addresses a statutory mandate, GSA IT Strategic Plan goals, and GSA's Annual Plan to assess whether:

- Investments continue to be aligned with strategic direction;
- Projects are prioritized, implemented, and managed efficiently;
- Projects support achievement of the desired initiative outcomes; and,
- Initiatives move the agency toward the achievement of the IT strategic goals

GSA has developed a strong CPIC process in order to lay the groundwork for budget requests and prioritization. To effectively govern the IT portfolio, the IT CPIC/Governance Program evaluates and determines a strategy for each system. GSA has also strengthened their IT governance program by establishing the Milestone Review Process that examines key, agency-spanning investments or investments determined to have performance challenges. This process is administered by IT experts drawn from across IT disciplines and experts from the business lines. The outcomes of these examinations are reported to the agency's Investment Review Board (IRB) for consideration and disposition. The IRB is also supported by a new governance board, the Business Review Board (BRB), composed of executives drawn from all the business lines at GSA. This board assists in the selection and prioritization of business-critical IT investments. GSA IT conducts an annual business user survey and technical reviews of existing systems to assess the business and technical value of each application. The technical review enables GSA to determine whether the agency should tolerate, invest, migrate, or eliminate IT investments based upon scoring against assigned criteria. GSA also manages the government-wide eCPIC system which is used by 20 Federal agencies, and is used by GSA to manage and control GSA initiatives, portfolios, and investment priorities.

National Aeronautics and Space Administration

The NASA Enterprise Application Competency Center (NEACC) provides operation and sustaining support for numerous agency business applications supporting various stakeholder communities. The

NEACC also implements new systems and transitions any Center-developed applications targeted to become integrated enterprise applications. New requirements are coordinated by the NEACC Release & Deployment Management activities. Release content is approved and prioritized by the Agency Business Process Leads. New requirements are identified through Service Requests (SRs) and are coordinated with the affected Lines of Business (LoBs) prior to additional review. SRs are sent for review and prioritization by the respective Functional Control Board (FCB)/Change Control Board (CCB) after LoBs provide an impact assessment for new requirements. The FCB then prioritizes the SRs relevant to that FCB's functional area.

The NEACC Internal Governance Board (NIGB) convenes monthly to review application architecture management, infrastructure management, and system security initiatives necessary to provide a platform that ensures application stability and supports integration with other components. All decisions and recommendations are made in compliance with superior IT governance bodies including the Business Systems Management Board (BSMB). The NEACC Cross-Organizational Review convenes monthly following the FCB/CCB and NIGB meeting, and prior to Sprint Planning Sessions to review cross-organizational business, technical and operational priorities (including strategic roadmap initiatives), identify where there are cross-LoB/delivery area capacity constraints or priority conflicts, provide guidance, and seek resolution of those conflicts.

Major Development Modernization Enhancement (DME) projects are individually managed and tracked and their implementation is executed via the Enterprise Applications Service Technologies contract. Each LoB operates under product/delivery managers who monitor SRs, points, priorities, and issues to ensure the product owners' needs are met and operations are smoothly executed. New projects are executed in compliance with NASA's system development methodology. Formal phase reviews are conducted under the decision authority of the NASA OCIO and funding for these efforts is approved and overseen by the BSMB or a superior board depending on the project's cost, risk and visibility levels.

National Archives and Records Administration

NARA's in-house email system was replaced with a cloud computing-based email system to improve the availability of email services to employees, contractors, and volunteers while providing an innovative approach for email archiving. The cloud-based email service modernized the NARA email system while reducing the government's hardware and software expenses, data center footprint, power and cooling requirements, and contract support personnel costs. The resulting system provides increased uptime, improved backup and recovery, improved records management of email, calendaring, contacts, chat, and tasks within the email system, and improved redundancy capabilities. The solution also improves the email support by using the cloud email provider's Tier 2 and Tier 3 support.

A key part of the NARA implementation was the inclusion of ZL Technologies Unified Archive (ZLUA). ZLUA provides for long term message storage, eDiscovery, and records management that is in compliance with DOD Electronic Records Management Software Applications Design Criteria Standard 5015.2.⁷ The ZLUA solution provides the ability to manage all data types under a single, unified platform while providing global enterprise-wide search and global de-duplication. This effort used the planning portion of CPIC to efficiently highlight technical and business concerns while effectively outlining the appropriate requirements. The business needs summary was discussed at Architecture Review Board meetings. These discussions emphasized the need for the contract solicitation to clearly articulate the Service Level Agreements, data conversion, and reporting requirements. In addition, it prompted an assessment of current and planned bandwidth utilization and impact on NARA's network. NARA business units then had an opportunity to review and comment on the draft business case, requirements, and objectives. These comments and other feedback were discussed at various business and

technical Integrated Project Team meetings. This review and feedback process ensured that functional, operational, records management, security, and privacy requirements were clearly incorporated into the final business case and Statement of Objectives. The contract was awarded in September 2012, and status reports tracking the scope, risks, schedule and cost were completed by the project manager and reviewed at weekly IT Projects meetings to monitor implementation. Additional briefings and stage gate reviews were also held before pilot and early adopters were initiated, as well as design and risk reviews. The solution was deployed to all users in April 2013.

National Science Foundation

NSF is working to reform its IT CPIC processes to ensure that agency IT dollars are allocated as efficiently and effectively as possible. To further strengthen its IT investment review process, NSF implemented a more formal and disciplined IT investment approval process driven by IT strategic thinking and NSF's Enterprise Architecture. Specifically, in FY 2013, NSF implemented the following enhancements to its CPIC processes:

- Established four IT strategic goals to ensure IT priorities are aligned with agency-wide business priorities and the NSF Strategic Plan. These strategic goals will help guide the decisions made by IT senior leaders, particularly NSF's CIO and IT Governance Boards.
- Strengthened the review process for centrally-funded IT investments by requiring advocates for new IT investments to complete an IT Investment Justification Worksheet and (for major investments) a formal business case. This ensures that advocates for new IT investments have fully considered the business need, benefits, impacts, and NSF strategic alignment of each investment proposal. It also helps the CIO and governance boards verify that IT, rather than policy changes or business process re-engineering, is the appropriate solution to a business need. This also provides the CIO and governance boards with information needed to review, approve, and prioritize investment proposals using a comprehensive evaluation methodology.
- Added the NSF Chief Acquisition Officer (CAO) and Chief Human Capital Officer (CHCO) as official members of agency IT Governance boards, formalizing their roles as part of the IT budget process.
- Strengthened the process by which its IT governance boards select new investments. In prior years, NSF's governance boards provided input on, and selected among, IT budget package options. NSF's IT governance boards are now able to select both an IT budget package, and also make individual decisions for IT investments within the approved package. NSF's IT governance boards base their selection decisions on written business cases, presentations from the advocate of the investment request, the level of alignment with NSF's Mission and Strategic Plan, and the extent to which they benefited NSF's proposal review and award management process. NSF plans to continue using this revised process for future year planning.

NSF expects these activities to strengthen the Foundation's existing ability to allocate IT spending as efficiently as possible to deliver the greatest contribution to NSF's mission.

Nuclear Regulatory Commission

The NRC routinely employs CPIC and IT/Information Management (IM) Governance throughout the life cycle of all major IT/IM investments. One requirement is that investments receive an annual control phase review (CPR) by the IT/IM Board (ITB). Through the CPR, the ITB considers past activities,

spending, and schedule adherence, and also evaluates plans for the upcoming year. In the case of the NRC's Budget Formulation System (BFS), this oversight enabled the agency to significantly increase the efficiency and cost-effectiveness of their budget formulation process, including:

- Incorporating staffing plan functionality into the BFS Salary and Benefits forecasting application and retiring the Enterprise Staffing Plan Application, thereby avoiding planned modernization costs; and
- Planning and designing a Spend Plan System to automate and streamline how offices request, plan, and distribute appropriated resources, thereby eliminating the use of a disconnected process utilizing spreadsheets and custom databases.

The BFS investment will also contribute to the NRC's target Enterprise Architecture and support the Enterprise Roadmap through the future innovations planned for FY 2014 and FY 2015. In addition, as the centralized authoritative data source for formulation activities, BFS provides reporting capabilities that support a baseline analysis of formulation versus execution at the agency, office, and division levels. This degree of resource synergy has enabled the agency to accurately identify and fund mission-critical needs, despite external challenges of continuing resolutions and sequestration cuts.

Office of the Director of National Intelligence

The annual IRP Portfolio Review provided insight into proposed IT investments for coming years. This process is managed by IC CIO and involves all IC agencies in an effort to identify where IT investments will be made across the IC to achieve increased efficiencies - particularly with regard to the IC IT Enterprise. Once in place, the IC ITE will result in cost savings and/or avoidance across the IC.

Office of Personnel Management

OPM IT investments are managed by a comprehensive CPIC program in which OPM stakeholders are actively engaged. All annual IT investment decisions go through rigorous business and technical panel reviews and oversight by the IRB. CIO subject matter experts (SMEs) are assigned to the technical panel in order to assess the technical merits of the proposed IT investments. The technical panel presents their findings to the business panel. The IRB nominates SMEs from across the agency to serve on the business panels. These business panel members assess each investment for its business value to OPM, the government, and citizens and whether future funding is justified, and discuss return on investment and strategic alignment. The business panel briefs the IRB on each investment. The IRB then votes on whether the IT investment should be part of the OPM portfolio, and provides recommendations to the OPM Director. OPM investments also go through periodic monthly self-assessments (which is an industry recognized best practice). Additionally, the CIO and Chief of Staff receive bi-weekly investment health status analyses and briefings to help OPM proactively manage risks before they materialize, as well as drive program effectiveness and efficiency.

Small Business Administration

The Human Resources (HR) LoB initiative was launched in 2004 as a service delivery model where HR services related to HR information systems and payroll move from the agency HR to Shared Service Centers. As a consolidated HR investment, the SBA's Office of Human Resource Services (OHRS) adopted the "Shared-First" approach and supports government-wide, modern, cost-effective, standardized and interoperable HR solutions providing common core functionality. The goals of this investment are to

provide improved management, operational efficiencies, cost savings or avoidance, and improved customer service to all agency stakeholders. The consolidated HR investment consists of a cloud-based Talent Management Center, an integrated portal-based Performance and Learning Management system. The OHRS and SBAs governing body, the Business Technology Investment Council, reviewed and approved the investment for sound oversight and utilization of shared services.

Social Security Administration

SSA's mature and disciplined CPIC processes and procedures ensure that investments align with agency mission and strategies; are integrated with enterprise architecture; strictly adhere to IT information security policies; are coordinated among related functions, processes and procedures; have thorough and detailed planning, sound management, and control during all process phases; have the lowest life cycle cost, highest return on investment, and carefully assessed risk; include accurate enterprise and initiative reporting; and have complete retrospective analysis and adoption of lessons learned.

One example of a cost effective investment is SSA's Citizen's Access Routing Enterprise (CARE) through 2020 program provides the public with access to automation and agent services via a national toll free number. SSA's toll-free number receives approximately 85 million calls per year. The transition to CARE Through 2020's cloud-based Voice over IP (VoIP) solution was completed in September 2013. As of November 3, 2013 over 26.5 million calls have been handled on this platform. The initiative has modernized SSA's telecom services and related circuits, cabling, hardware and software, and has been designed to support features such as click-to-talk, screen sharing and instant messaging. Additionally, CARE Through 2020 has reduced overall per minute usage rate costs from approximately four cents to one cent.

APPENDIX B: ENHANCED DELIVERY OF INFORMATION AND SERVICES TO THE PUBLIC

As mentioned in Appendix A, the E-Gov Act requires OMB to oversee implementation of the E-Gov Act in a number of areas (44 U.S.C. § 3602(e)). Section 3602(f)(9) requires OMB to sponsor ongoing dialogue to encourage collaboration and enhance understanding of best practices and innovative approaches in acquiring, managing, and using information resources to improve the delivery of government information and services to the public. This appendix describes agency activities that enhance delivery of information and services to the public.

Department of Agriculture

- ***USA Search Implementation***

In January 2013, the U.S. Department of Agriculture (USDA) implemented USASearch, a hosted site search service provided by GSA's Office of Citizen Services and Innovative Technologies. USASearch provides a search box that searches across all public-facing digital content on a website. The service supports an unlimited number of websites, and integrates Rich Site Summary (RSS) feeds and social media pages. USASearch provides significant improvements to the search technology used for www.usda.gov, and allows the department to leverage free, open-source technology provided by GSA. The tool allows USDA to deliver a modernized and customer-centric search experience on www.usda.gov with relevant, multi-channel content. Website users now enjoy a better, enhanced search experience with features such as social media integration with Flickr, Twitter, and YouTube, integrated RSS feeds such as listings on www.USAJobs.gov, type-ahead search suggestions based on commonly used terms, and fast results returned in less than 400 milliseconds.

USDA manages the tool independently and has reduced the amount of needed resources to maintain an enterprise-wide search solution. USDA employees and customers have expressed satisfaction with the service. USDA will continue to work with agencies to further improve the value of www.usda.gov through enhancements provided by this technology.

Department of Commerce

- ***USA Search Implementation***

The U.S. Census Bureau's Digital Transformation Program is using 21st century technology to make statistics more accessible than ever before. Two key examples of this are the America's Economy mobile application (app), and the Census Data Application Programming Interface (API). Launched in 2012, America's Economy provides smartphone and tablet users with the real-time government economic indicators that drive business hiring, sales and production decisions, and that inform economists, business owners, researchers, planners, and policymakers. The app has been downloaded over 110,000 times from app stores.

The Census Bureau, Bureau of Economic Analysis (BEA), and Bureau of Labor Statistics (BLS) worked together to develop America's Economy jointly to provide access to key economic indicators, to raise awareness around them, and to increase usage of economic data. With America's Economy, users have access to 20 indicators from key statistical agencies. Users can send feedback directly to the project team through the app, which helps the team prioritize features and enhancements. For example, users frequently requested the addition of the Consumer Price Index (CPI), which is now one of the indicators included. This project provides employees and the public with greater access to government data. America's Economy has improved citizen service by providing economic data and also access to

additional economic information such as press releases, schedules, and economic databases for further exploration. America's Economy provides a better value to citizens by bringing key economic data together for easier access to that data.

- ***Use of the Web and Social Media***

In 2013, BEA continued to expand and enhance data dissemination tool, Interactive Data Tables (aka "iTables"). BEA's website contains a myriad of methods and social-media techniques to collaborate and engage with the public. For example, BEA has two Twitter accounts (@BEA_News and @BEA_Jobs), a blog, RSS feeds, several contacts links containing topic-specific email addresses, a Frequently Asked Questions site that includes a feature for the public to ask BEA questions, an email subscription service, and large amounts of online documentation on estimation methodologies and data quality guidelines. BEA is exploring additional public facing options such as mobile optimized pages, additional bulk download options, and search optimization with major search providers.

Department of Defense

- ***Arlington National Cemetery Explorer***

Arlington National Cemetery (ANC) has developed ANC Explorer, an app that is available across common web browsers and on Android and iOS mobile devices such as smart phones and tablets. This app enables veterans, family members, and the public to explore ANC's rich history as if a virtual tour guide were accompanying them.

The first version of ANC Explorer allows users to locate gravesites, events, or other points of interest; generate front and back photos of a headstone or monument; and receive directions to those locations. In the future, ANC Explorer will offer features such as emergency and event notifications, restroom and water fountain locations, shuttle stops, and self-guided tours. Kiosks for accessing the ANC Explorer are available for public use in the Welcome Center and in several locations throughout the cemetery for those without access to a mobile device.

- ***U.S. Army Corps of Engineers Lock Performance Monitoring System***

In 2012, the U.S. Army Corps of Engineers (USACE) launched a website to provide the public and industry with real-time data on U.S. flag and foreign vessels transiting USACE-owned and operated lock structures. Data is entered into the USACE Lock Performance Monitoring System (LPMS) each time a vessel transits a lock. The site provides half-hourly information on current vessel traffic and hydrologic conditions. In 2013, USACE developed a web API for the information so automated systems could get data from the LPMS in near-real time.

USACE has collected vessel traffic data through its lock structures since 1975 and has provided information to industry and the public in various formats from compact discs, electronic files, web forms, and now in the form of a web API. This web API gives industry and the public the ability to develop third-party apps to analyze traffic patterns around busy locks, and predict the best time to arrive in order to minimize wait time to cycle through the lock; therefore, resulting in minimized operating costs. Additionally, USACE operations personnel use the web APIs internally to monitor the physical performance of their locks, to study the characteristics of vessel traffic on specific segments of a waterway, and to predict the impact of system changes.

Department of Education

- ***Web Broadcasting Services to the General Public and Teleworkers***

In February 2013, the Department of Education (ED) implemented new capabilities to provide public-facing web broadcasting services to the general public and teleworkers via EDstream.ed.gov. ED provides an event webcasting solution allowing senior leadership to conduct a myriad of communications and outreach activities, including the ED Youth Policy Briefing Sessions. By broadcasting these sessions externally, ED has reduced travel and conference spending, while actively engaging the general public. This new capability also enables teleworkers to be more engaged with ED's activities, including the ability to view Principal Office-specific "All-Staff" meetings.

Originally implemented in 2010, ED's web broadcasting system was limited to internal audiences logged into the network. The expanded system provides event webcasting services to internal and external audiences supporting both live and on-demand viewing options. Since the first public broadcast event in February 2013, ED has supported over 62 hours of content for 57 events resulting in more than 6,300 views and over 4,400 viewership hours of content by the general public and/or teleworkers.

- ***Loan Counseling Tools***

With nearly 40 million student loan borrowers and a portfolio of over \$1 trillion, one of the ED's key missions is to ensure that timely, accurate, personalized information is available to help borrowers manage their debt. The recently implemented Loan Counseling Tools on www.studentloans.gov provide students and borrowers with interactive, comprehensive, and personalized information regarding their financial aid choices and repayment options. Since being implemented, the Loan Counseling Tools have allowed the ED to deliver relevant information to about 12 million student/borrowers.

The tools include the new Financial Awareness Counseling Tool (FACT), which borrowers can complete at any point in the financial aid lifecycle. FACT, which includes personalized loan history, loan basics, and budgeting tools, can be completed each academic year to remind borrowers of their financial commitment and reinforce basic financial literacy concepts. Entrance counseling is also available for all first-time undergraduate and graduate borrowers, who are required to complete the presentation prior to receiving their first loan disbursement. The counseling provides foundational information such as basic loan and budgeting concepts, college cost comparison data, and loan repayment terms and conditions. Exit counseling is also available to all borrowers as they prepare to leave school, providing borrowers with information regarding their loan servicer, available repayment plans including income-driven repayment options, and the consequences of default. It allows borrowers to forecast their future income to better understand how student loan repayments may impact their financial situation.

The Loan Counseling Tools provide personalized real-time data in an interactive format, allowing students and borrowers to build a budget using a downloadable spreadsheet, and evaluate their financial aid options and/or other resources available to them. All three tools are accessible at www.studentloans.gov/myDirectLoan/counselingInstructions.action and provide broader financial literacy content, such as details about private educational loans, credit cards, and income taxes.

Department of Energy

- ***RightPath Initiative***

The Department of Energy (DOE) is enhancing the delivery of information and services to the public and

others through the Right Path initiative. The RightPath initiative was jointly established by the DOE and the National Nuclear Security Administration (NNSA) to deliver an efficient and modernized IT infrastructure that enables a virtual workforce where employees may work anywhere, anytime, from any device while enhancing collaboration, business intelligence, and the agency's cybersecurity posture by combining transformative changes in people, processes, and technology.

RightPath will modernize the infrastructure, improve the cybersecurity posture, and deliver service with lower operational costs. This transformation will be accomplished by constructing the IT toolbox for the 21st century that integrates and leverages technology trends of the future, such as cloud computing, mobility, social computing, and big data/analytics. Through RightPath, DOE and NNSA are focusing an enterprise approach on non-differentiated Federal IT. Examples include: core desktop computing, storage, and connectivity provided by datacenters and server rooms; mainframes/servers; telecommunications; desktop systems; mobile devices; email; non-email collaboration tools; identity access and management; corporate cybersecurity services; and web hosting infrastructure.

- ***Website Reform***

Website reform is another part of DOE's efforts to achieve cost-savings and provide better service to the public, and internal and external stakeholders. DOE is working to streamline public-facing web operations into a single collaborative platform while also improving overall web and digital communications. The www.Energy.gov website improves how consumers and businesses access the information and resources they need to save money and energy while improving the ability of DOE staff to interact with the public and each other. The system democratizes content production, providing an interface for users to create and update pages, blog posts and documents without the assistance of dedicated technical staff. The new platform utilizes the latest technologies in information visualization, bringing updated and interactive graphics, charts and maps to www.Energy.gov.

To date, several staff and program offices have migrated into the www.Energy.gov platform. Migration allows for significant cost-savings by allowing DOE to consolidate contracts for hosting, training, helpdesk support, and technical development. Additionally, having offices on the same platform allows for greater sharing of information, reducing duplicate content, and better serving the needs of users who often see the Department as a single entity rather than a collection of offices.

Department of Health and Human Services

- ***Interactive Web-Based Tools***

The Department of Health and Human Services (HHS) aggressively uses IT to meet its mission of enhancing the health and well-being of Americans by providing for effective health and human services and by fostering sound, sustained advances in the sciences underlying medicine, public health, and social services. Some examples include:

- Health Indicators Warehouse - Provides a single point of access to high quality data and metadata for over 1,100 population health indicators from a variety of Federal and non-Federal sources;
- Community Health Status Indicators - A web-based tool that provides local public health agencies access to county health status profiles for improving community health by identifying resources and setting priorities;
- County Health Rankings - An interactive website that provides access to 50 state reports with

rankings of each county within each state according to its health outcomes and health determinants. The County Health Rankings are a key component of the Mobilizing Action toward Community Health project, a collaboration between the Robert Wood Johnson Foundation and the University of Wisconsin Population Health Institute; and

- Federal Parent Locator Service (FPLS) - Enables the Agency for Children and Families' Office of Child Support Enforcement to facilitate communication and data exchanges between states, employers, financial institutions, insurers, and other Federal agencies, helping to eliminate barriers between government agencies and promote data sharing to improve program efficiencies and customer service. The FPLS provides a centralized source of employment and location data for authorized programs, and is comprised of multiple systems, including the National Directory of New Hires, the Federal Case Registry of Child Support Orders, Debtor File (which assists states with collection of delinquent child support), and the Enterprise Services Portal (which provides authorized users a secure gateway into FPLS web applications).

Department of Homeland Security

- ***Office of the Chief Information Officer (OCIO) Program Health Assessments***

DHS has implemented the DHS IT Investment Baseline Management process to include monitoring the IT investment baselines. The OCIO is enhancing the manner in which it monitors IT investment baseline breaches to minimize the risk of cost and schedule shortfalls. This process requires corrective action or recovery plans for any project experiencing a 10% or greater variance in cost or schedule baselines. Projects with shortfalls of 10% or greater must develop and document corrective actions. The OCIO follows up with Program Managers, through the CIO's IT Program Health Assessment process, on a monthly, quarterly, and semi-annual basis, based on the CIO's rating of the program.

- ***TSA Pre✓™***

TSA Pre✓™ is an expedited screening program that allows pre-approved airline travelers to leave on their shoes, light outerwear and belt, keep their laptop in its case and their compliant liquids/gels bag in a carry-on in select screening lanes. To date, more than 15 million passengers have utilized TSA Pre✓™ since it launched in October 2011. If a passenger is eligible for expedited screening, a TSA Pre✓™ indicator will be embedded in the barcode of the boarding pass so that when scanned at the checkpoint, the passenger may be referred to a TSA Pre✓™ lane.

Many participating airlines already print a TSA Pre✓™ indicator directly on the boarding pass so passengers will know in advance they have been cleared for expedited screening. TSA will always incorporate random and unpredictable security measures throughout the airport. Even with TSA Pre✓™, no individual will be guaranteed expedited screening.

In December 2013, TSA launched the TSA Pre✓™ Application program allowing U.S. citizens and lawful permanent residents to apply directly for participation in the program. Enrollment consists of an on-line application and then a visit to an enrollment site for verification of identification documents and submission of fingerprints required as part of the security threat assessment. For an \$85 fee, approved applicants are eligible to participate in the program for five years. More than 300 enrollment centers are scheduled to open across the country during the first half of calendar year 2014. This initiative supports TSA's goal of providing the most effective security in the most efficient way by allowing TSA to concentrate more attention to travelers who have not been evaluated as lower risk or travelers identified as posing a higher risk to commercial aviation while expediting the physical screening for lower-risk

travelers. More than 114 airports are currently providing dedicated TSA Pre✓™ screening lanes with nine domestic air carriers participating in the program. Working in partnership with DOD, TSA extended TSA Pre✓™ participation to all active duty, National Guard, reserve, and Coast Guard uniformed personnel by connecting the Defense Manpower Data Center (DMDC) personnel database to the TSA Secure Flight system. Uniformed military personnel are now able to use the serial number on their military identification as a known traveler number for their flight reservation when traveling aboard one of the participating airlines. TSA will always incorporate random and unpredictable security measures throughout the airport. Even with TSA Pre✓™, no individual will be guaranteed expedited screening.

Department of Housing and Urban Development

- ***Homeless Analytics Initiative***

The Homelessness Analytics Initiative, one of the Department of Housing and Urban Development's (HUD) Open Government flagship initiatives, provides users with easy access to national, state, and local data about homelessness among both veterans and the general population, including risk and protective factors, support services and resources. In June 2013, HUD, in collaboration with the U.S. Department of Veterans Affairs (VA) and the National Center on Homelessness Among Veterans (NCHAV), launched the Homelessness Analytics web app. This interactive online tool gives communities, organizations and individuals' critical information on trends in homelessness among both veterans and the general population.

The application provides a feature-rich interface that offers easy access to data on the size of the homeless population and sub-populations, as well socio-economic indicators related to homelessness gathered from dozens of data sources such as the American Community Survey, the Centers for Disease Control's Behavioral Risk Factor Surveillance System, HUD's Fair Market Rents, the National Survey on Drug Use and Health, and the USDA Food and Nutrition Service Program. Users can manipulate the data by exploring maps, creating customized tables, and generating charts. They can download brief formatted reports providing snapshots of homelessness, resources to address homelessness, and related socio-economic indicators for states and local communities. It is also possible to select indicators of interest and download those data in a spreadsheet or database to conduct an independent analysis. The Homelessness Analytics application also includes modeling and forecasting features that enable users to simulate expected changes in homelessness given changes in an underlying community level indicator. For instance, a user can model the relationship between median rent levels and rates of homelessness to better understand how changes in housing market conditions might impact homelessness. The access to data and the tools available in the Homelessness Analytics application make it a critical resource for achieving the goals of [*Opening Doors: Federal Strategic Plan to Prevent and End Homelessness*](#).

Department of the Interior

- ***Cloud Services***

DOI awarded a Foundation Cloud Hosting Services contract in July 2013. The contract involves seven service lines, including virtual machine services, storage services, database hosting services, secure file transfer services, web hosting services, development and test environment hosting services, and Systems Application Products (SAP) hosting. The contract will streamline access to commercial cloud services in support of the [*Federal Data Center Consolidation Initiative*](#), the cloud-first policy outlined in the [*25 Point Implementation Plan to Reform Federal Information Technology*](#), the DOI Information Technology Transformation Initiative, and emerging system owner demand for application and data hosting services.

The contract provides an alternative to purchasing and maintaining hardware and software, and helps improve "speed to market" for developing and modernizing applications by providing our developers and system owners with access to computing and storage resources on demand. This will enable DOI to deliver services to the public taxpayer more efficiently, and with a lower capital expenditure. The contract provides the opportunity to shift from a capital intensive, asset-based perspective on delivering infrastructure services, to a service-based perspective. As a metered service, it is paid as an operating expense, after it is consumed, and based solely upon resources utilized, thus reducing the burden of providing large scale government operated infrastructure services.

DOI expects this service model to be cost competitive, because it leverages the economies of scale, and maintains competition throughout the acquisition lifecycle. This contract leverages FedRAMP, to evaluate and maintain security consistently across the government enterprise. The "Authorize Once, Use Many" approach of the FedRAMP processes and governance will simplify compliance activities, reduce the market barriers-to-entry, and unlock additional economies of scale for cloud service providers. The service lines available within the contract form the building blocks for defining future services, and were developed to meet the most urgent hosting needs for our internal customers. DOI has worked with the vendors on ensuring compliance with the FedRAMP processes and overall program. DOI has issued an internal task order to support the migration of the DOI Finance and Business Management System to a cloud environment, as well as, one external task order (Federal Housing Finance Agency). DOI has approximately 25 additional requirements that are currently in the cloud hosting technical evaluation and acquisition phases. DOI is also in the process of developing business processes to support the operation and management of the Foundation Cloud Hosting Contract to include the development of a StoreFront where all customers of the contract can learn about the options available, download forms/templates to be used in the process and points of contact information.

- ***Unified Messaging***

DOI began the final phase of migrating to a cloud-based "Software as a Service" (SaaS) email and collaboration system in August 2012. In FY 2013, DOI achieved their goal to transition its email and collaboration services from 13 disparate, on-premise systems to a highly integrated, innovative, creative, cost-effective, and evolving cloud-based environment that better serves its employees and the American people. In January 2013, the last group of DOI employees were migrated. The implementation of a suite of tools and capabilities now allows DOI to transform the way business is conducted with the American people, as well as, manage and monitor service performance, quality, and delivery through clearly defined roles and business rules. With all employees on one system, intra-department communication has been enhanced as new email, calendaring, and collaboration capabilities gain wider use. Feedback from DOI employees indicates that users are satisfied with the new systems, and find it easy to use.

Department of Justice

- ***Mobile Device Capabilities***

In recognition of the rapid expansion of the use of mobile devices (e.g., smartphones, broadband linked tablets, and embedded devices in vehicles), the department has taken steps to enable persons using these devices to more easily access department information. As part of DOJ's Digital Strategy Implementation, the department published a "mobile friendly" version of the Department of Justice main agency website (m.Justice.gov) that is formatted to be more readable and usable on smaller screen mobile devices. This is an interim step toward a fully mobile friendly website that will be delivered via an automated Content Management System in late 2014. The department will continue to evaluate the

information delivered to the public via the agency website to identify additional high value content that should be included in the mobile-ready version of the site until the new web content delivery system is operational. In the meantime, public users of the Justice mobile-ready site can communicate recommendations for improving the mobile site via direct e-mail to the webmaster at webmaster@usdoj.gov.

- ***Enhanced Business Operations***

In October 2012, 2,200 users in the U.S. Marshals Service (USMS) joined the UFMS 2.0 Sensitive But Unclassified (SBU) shared environment and transitioned to UFMS as the financial system of record. Post implementation milestones were achieved ahead of schedule and USMS successfully completed the first year-end close in November 2013. This implementation provided the USMS with an opportunity to standardize 28 standard business processes within DOJ's financial management programs. In addition, the integration of acquisition business processes with the financial data has greatly enhanced the USMS visibility to their costs during these challenging budget times.

In October 2012, UFMS 2.1 SECRET platform went live for over 300 FBI pilot users from the Criminal Justice Information Services Division in field offices in Louisville, Chicago, Pittsburgh, and the Ottawa, Canada Legal Attaché. The FBI pilot served to validate the operational readiness of the new business processes, tested the robustness of the training approach and provided experience to a core of knowledgeable users to lead the business transformation across FBI for the final phase of implementation. In October 2013, UFMS was deployed to the remaining 3,000 FBI users as the financial system of record. Many of the business practices, which were part of a thirty year old legacy system, were redesigned to leverage workflow and integrate FBI financial business processes which have greatly assisted their mission critical activities. UFMS is now one of three financial systems supporting DOJ (the others are FMIS2 serving the Bureau of Prisons, Offices, Boards and Divisions and the Office of Justice Programs, and SAP serving industrial operations of the Federal Prison Industries). The reduction of core financial systems has provided DOJ with the transparency of financial data and has assisted in the reporting of many different program aspects associated with financial management.

Department of Labor

- ***Benefits.gov Mobile Site***

The www.Benefits.gov website provides citizens with information and eligibility prescreening services for more than 1,000 Federal and state benefit and assistance programs across 17 Federal agencies. In July, 2013, www.Benefits.gov successfully implemented Phase I of a mobile roadmap strategy, called "One Web," which focuses on technology enhancements to better serve the growing number of users accessing the website from their mobile devices, including smartphones and tablets.

In the year before launching the mobile friendly site, www.Benefits.gov saw the number of visits from mobile device users increase by more than 200%. The growth underscored the need to update and improve the website to better accommodate mobile users and enhance their viewing experience. As a result, the www.Benefits.gov program office planned and implemented a new responsive design technology enabling the site to identify the resolution of the user's viewing screen, and dynamically adjust the page format to accommodate the device. The new capability optimizes the user's viewing experience, and makes it easier for citizens to access government benefit information anytime, anywhere, regardless of the mobile device type or brand. In the four months following the responsive design implementation, mobile visits to the site increased by almost 60% over the same four month period the previous year, bringing mobile visits up to about a third of all traffic to the website today. The new look of the mobile-friendly www.Benefits.gov homepage will continue to highlight news articles and helpful

information to get users started with locating and applying for assistance.

Another key feature of the www.Benefits.gov website is the "Benefit Finder" search tool, which allows users to anonymously answer questions to determine which government programs they may be eligible to receive. Visitors can also search for more information about available programs by browsing the site by state, category, or Federal agency. Citizens will also find a YouTube tutorial to guide them through using the Benefit Finder. Visitors can keep up with the latest benefit-related information by subscribing to benefit program page updates directly from the site, subscribing to the site's quarterly eNewsletter called the Benefits.gov Compass, or by following www.Benefits.gov on Twitter (www.twitter.com/benefitsGOV), Facebook (www.facebook.com/benefitsGOV), and YouTube (www.youtube.com/BenefitsGOV).

- ***Departmental E-Business Suite (DEBS)***

The DEBS program is an internal, Department of Labor (DOL) system of record that automates the budget formulation, execution, performance, and programming disciplines. Beginning in FY 2006, DEBS has supported the formulation of five appropriation account budgets throughout the annual Federal budgeting lifecycle. Because of the program's success, DEBS expanded to become a complete one-stop-shop for Federal agency budget management and reporting including annual budget submissions, quarterly operating reports, financial status of funds, and annual performance reports. DEBS integrates commercial and government off-the-shelf solutions to reduce the total cost of ownership. The innovative tools and functional capabilities within DEBS allows users to track, spread, report and analyze financial, programming, budget, and performance data across agencies with efficiency for greater transparency. For example, in FY 2013 a reporting and analytical dashboard capability was added to DEBS, promoting greater budget visibility and transparency.

The program also provides e-budget management related services to the VA and HHS as a shared service provider. HHS uses DEBS budget and performance reporting capabilities for Congressional budget justifications, and budgetary briefing and review books. In FY 2013, twelve HHS appropriation accounts (comprising 66 budget activities) were supported by DEBS through three separate budget cycles. VA used DEBS to formulate their five-year outlook across six organizations within 22 programs representing 17 appropriations. DEBS improved the VA's budget transparency and consistency by providing data in a one-stop-shop solution rather than in multiple, disparate Excel spreadsheets. By leveraging the DEBS interface, users could rapidly identify the impact of program activity changes on appropriations, which streamlined the communications between VA's programming and budgeting communities.

Department of State

- ***Catalog of Foreign Relations of the United States (FRUS)***

The Department of State's (State) Office of the Historian created an API and mobile-friendly products for its FRUS series. The Foreign Relations volumes contain documents from Presidential libraries, Departments of State and Defense, the National Security Council, the Central Intelligence Agency, U.S. Agency for International Development (USAID), and other foreign affairs agencies, as well as the private papers of individuals involved in formulating U.S. foreign policy. The documents featured in the Foreign Relations volumes highlight policy formulation, and the implication of these policies once put into place. Recently published volumes have expanded the scope of the series in two important ways: first by including documents from a wider range of government agencies, particularly those involved with intelligence activity and covert actions, and second by including transcripts prepared from Presidential tape recordings.

The web API provides a method for querying the FRUS series catalog, using the latest version of the

Open Publication Distribution System standard for publication data and feeds. Publications are linked from feeds and accessible as downloadable e-books. The web API allows third party web and application developers to integrate the live catalog into their products. It also allows end users to manually add the catalog to applications that support the standard on which the API is based. The mobile friendly project was called the “Foreign Relations of the United States series e-book edition,” and includes approximately 110 e-book editions of the series. The e-book edition offers the full content of each volume, and makes use of the full-text search and other reading features of most e-book devices and applications, including bookmarking and note-taking. Unlike the web-based edition of FRUS, the e-book edition, once downloaded, can be accessed even without internet connectivity. The e-books can be downloaded directly from State’s website, or by using an e-reader application that embeds the department’s e-book catalog.

- ***DOS Careers***

State’s Office of Recruitment, Evaluation, and Employment (HR/REE) created a mobile app called “DOS Careers.” The app focuses on Foreign Service careers and allows users to learn about State’s mission, work, and goals. It also educates aspiring Foreign Service candidates about the different career tracks and specialist skill codes, acquaints them with the 13 dimensions that are assessed in the selection process, and connects them to nearby recruiting events and Diplomats in Residence in their region. In addition, the app will allow users to review more than 500 “retired” Foreign Service Officer Test multiple-choice questions. With the increased use of smartphone technology across a diverse demographic, HR/REE developed this app to reach potential candidates from various educational, cultural, and geographic locations throughout the United States and to provide a variety of resources to help them pursue a Foreign Service career. The mobile app showcases State’s continuing commitment to innovative recruitment efforts.

Department of Transportation

- ***Website Improvements and Apps***

The Department of Transportation’s (DOT) www.DOT.gov website migrated to a cloud-based platform as part of DOT’s consolidation and expansion of services. The new website uses a responsive design template allowing customers to view the website regardless of the size of their screen. DOT has seen a significant increase in web traffic from mobile devices since the launch of the mobile site. DOT continues to add additional websites to this enhanced platform, and continues to expand the presentation of safety related information in digital formats. DOT leveraged content available on their websites to develop the SaferBus app for iOS and android devices. The app provides access to information on the FMCSA website including bus company operating authority and insurance status, bus safety performance records, and bus company safety. The app also has the ability for individuals to report a complaint. DOT also created a user-friendly iOS smartphone product to streamline access to information on www.SaferCar.gov, including vehicle 5-star safety ratings, vehicle defects, and the Child Safety Seat Locator. The app also enables consumers to search and submit vehicle complaints.

Department of the Treasury

- ***Invoice Processing Platform (IPP)***

The IPP provides a centralized electronic invoicing and payment information portal accessible to Federal agencies, payment recipients, and the Bureau of the Fiscal Service (BFS). The IPP enables the presentation of electronic orders, receipt of electronic invoices, automated routing and approval, electronic notifications and Treasury payment information. To encourage adoption of the IPP, Treasury

has made the IPP service available at no charge to all Federal agencies and their suppliers. The IPP is designed to yield government-wide efficiencies by reducing or eliminating paper-based processing by accounts payable, enhancing Treasury's value and service to its citizens by increasing access to and the quality of payment data, and providing a central application in which Federal agencies and their vendors can engage with one another.

- ***Do Not Pay Business Center***

The Do Not Pay Business Center is a Treasury program designed to give paying agencies access to the critical information needed to identify, reduce, and prevent improper payments. Improper payments occur when funds go to the wrong recipient, the recipient receives the incorrect amount of funds (including overpayments and underpayments), documentation is not available to support a payment, or the recipient uses funds in an improper manner.

The Do Not Pay Business Center provides a number of services to assist Federal agencies, including access to various databases through: the Do Not Pay Portal, analytical services, and the ability to compare payment information submitted to Treasury for disbursement against databases of deceased individuals and contractors barred from doing business with the Government. The Do Not Pay Portal provides users with a secure single entry point for multiple data sources online. The Do Not Pay analytics services provides agencies with additional customized analysis to combat improper payments. This includes matching and analyzing the agency's payment file against currently available data sources and analyzing the payment file itself for irregularities such as same unique identifier (Taxpayer Identification Number, Social Security Number, Employer Identification Number, and Data Universal Number) and different names. Treasury continued service implementation of these services to new customers throughout 2013.

Department of Veterans Affairs

- ***eBenefits***

The VA is committed to improving the online experience for veterans and service members. The eBenefits portal is a central location for veterans, service members, and their families to research, find, access, and manage their benefits and personal information. The eBenefits portal offers a personalized workspace called My Dashboard which provides quick access to eBenefits tools, and allows users to complete various tasks such as applying for benefits, viewing benefits status, downloading personnel files such as the DD 214, Certificate of Release or Discharge from Active Duty. The portal also offers a catalog of links to other sites with information about military and veteran benefits. The VA has continued to add more features allowing direct access to benefits and information, including links with information regarding benefits by state, compensation, death benefits, education benefits, employment, financial services, health and prescription benefits, insurance, housing, retirement, transition assistance, transportation, and travel.

U.S. Agency for International Development

- ***Consolidated Human Resources Reporting and Personnel Systems (CHRRPS)***

The USAID CHRRPS project is an effort to meet the agency's HR LOB obligations and modernize its HR systems. The CHRRPS project better positions USAID staff to efficiently and effectively accomplish their personnel management responsibilities through a secure and reliable system, with enhanced user interfaces, enterprise integration, and improved data management and reporting capabilities. In FY 2013, the CHRRPS team successfully migrated the agency to a new Learning Management System. By

utilizing the new Learning Management System, USAID was able to efficiently implement and manage information security training for the entire staff. Other agency training, including gender-awareness for development training, will follow the same model. The new system includes a single sign on, eliminating the need for users to remember multiple passwords, and provides a more accessible, cloud-based system with an updated look and feel. Increased transparency and social collaboration functions also allow for expanding the learning experience including better management of asynchronous learning.

- ***Development Innovation Ventures (DIV) Initiative***

USAID's Office of Innovation and Development Alliances (IDEA) was created to pioneer, test, and mainstream models, approaches, and mechanisms that can lead to improvements in development outcomes while establishing and coordinating partnerships that can lead to more process and results-based enhancements for the public and government operations. IDEA implemented the DIV initiative, which utilizes technological investments to enhance services and welfare for some of USAID's public stakeholders. In June 2013, USAID partnered with industry to increase access to broadband services via satellite to advance development in Latin America and the Caribbean, and improve services to the public in those regions. Additionally, USAID, in partnership with industry and the Colombian Ministry of Education, worked to improve access to technology to extremely remote and conflict-prone communities. The project provided electricity and internet to 12 community centers and 26 schools, benefitting more than 4,200 students. It also provided communities with an online connection to their local government, educational resources for children, sustainable, improved cell phone service, refrigeration, and economic benefits from reliable internet connection.

USAID will continue to work with industry partners to design and support activities, which:

- Leverage broadband services to improve livelihoods, placing particular emphasis on activities that develop cost-effective and efficient broadband solutions and boost affordable connectivity;
- Electrify and connect USAID-supported outreach centers, community centers, and schools with internet access to enhance education and training;
- Improve the ability of small-scale farmers, producers, and producer groups to connect with distant markets, export and improve access to agri-support services, and share information about crop production problems;
- Strengthen the capacity of small-scale producers, small businesses, and the public to access and manage their finances via mobile financial services; and,
- Utilize satellite imagery and geographic information systems to foster climate change adaptation, disaster risk reduction, humanitarian relief, and post-crisis reconstruction.

Environmental Protection Agency

- ***Envirofacts Data Warehouse and MyEnvironment Application***

The Environmental Protection Agency's (EPA) Office of Environmental Information is charged with managing the lifecycle of information to support the Agency's mission, including enhancing public access to environmental information. One of the ways EPA meets this charge is with the Envirofacts application. Envirofacts allows the public to search for environmental data about regulated industry in their community, and generate reports on a wide variety of EPA programs such as air, water and land emissions of toxic chemicals, and compliance information through the integration of multiple agency data

sets.

This application provides a one-stop source for information contains a mapping interface for data visualization, and powers an entire suite of other EPA applications, such as MyEnvironment. MyEnvironment is used by school teachers and college professors to explore environmental issues in their specific community. This year, the American Libraries Association selected MyEnvironment as one of the top 26 websites, declaring it an outstanding site for reference information and including it in a list of the best free reference websites of 2013. The Envirofacts Data Warehouse and the host of information access tools that it powers, including MyEnvironment, allow unprecedented access, integration and visualization of EPA data for both the casual and advanced data consumer.

Other applications include the [Enviromapper for Envirofacts](#), a website providing a single point of access for EPA environmental data, and [NEPAssist](#), a tool which facilitates the environmental review process and project planning in relation to environmental considerations. For more adept data consumers, the Envirofacts API allows developers to access the data warehouse using machine readable formats and extract custom information requests. This functionality provides increased access to EPA data, and is integrated with MyEnvironment.

- ***FOIAonline System***

EPA launched the new multi-agency web-based Freedom of Information Act (FOIA) system [FOIAonline](#) in October 2012. FOIAonline reduces time and effort in preparing FOIA responses and provides greater transparency and public access to information released through the FOIA process. The public can search existing and completed FOIAs, submit and track their own FOIA requests, and view any records released through the system. The FOIAonline system was developed as a shared service solution. Initially funded by EPA, DOC and the National Archives and Records Administration, other agencies have joined the partnership, including the Merit System Protection Board, the Federal Labor Relations Authority, DHS Customs and Border Protection, and the Pension Benefit Guaranty Corporation. Cumulatively, these agencies receive an average of approximately 65,000 FOIA requests annually. Several other agencies have expressed interest in the use of the service. The expansion of the FOIAonline partnership allows other Federal agencies to leverage the existing technology platform provided by FOIAonline, which decreases the number of redundant IT systems in government.

General Services Administration

- ***USA Services***

GSA's USA Services provides a one-stop source for information about Federal government programs and services and provides consumer information on money management, scams, Federal benefits, identity theft, government auctions, health, housing, and jobs. The www.USA.gov website is the U.S. Government's official web portal and premier website which provides trusted, timely, valuable government services and information when and where the public and federal agencies across government require, in English and Spanish. GSA continues to expand search functionality and make mobile applications available for download on www.USA.gov to provide access to information on a variety of government services. The www.USA.gov website received over 55 million public visits in 2013, and is linked to by over 14 million other sites. GSA works closely with other agencies to push important information to the public through guest blog posts on www.Blog.USA.gov, targeted e-mail marketing, Facebook, Twitter, and promoting its most popular publications on the e-commerce site, Publications.USA.gov.

GSA also developed a new API to add to their existing collection on the developer resource page. The API was developed to make the A-Z Index of US Government departments and agencies available in machine-readable format. The content was developed in response to requests from the public to make this data available in a format that is easy for developers to use. The data in the API is available in English and Spanish, and both the government app gallery data and the www.USA.gov iPhone app are open sourced.

Additionally, the www.USA.gov website and www.GobiernoUSA.gov (the Spanish language website) launched a responsive design, making both sites accessible and easy to use from smartphones and tablets. About one third of the adult population in the U.S. can be considered a mobile-only user, meaning a tablet or smartphone is the primary way to access the internet. The percentage of mobile-only users is even higher for minority or low-income populations. The new design increases efficiency and cuts costs by centralizing content management across platforms. All versions of the sites contain the same useful information, presented in a different format to optimize the user experience depending on the size of the screen.

- ***Data.gov***

The www.Data.gov website is the flagship initiative for making the Federal government open and transparent through accessible and easy-to-use online government data. The platform provides citizens with access to approximately 184,000 collections, including 400,000 datasets, from 144 agencies and sub-agencies, allowing individual agencies to save money by not having to create their own data integration platforms. The www.Data.gov website empowers citizens to drive innovation and use high-value, machine-readable government datasets to improve their daily lives. It also fuels the development of innovative applications that provide cost-effective services to citizens, and creates and supports global communities focused on cross-agency priorities and data sharing. 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 43 countries, 39 U.S. states, and 40 U.S. cities and counties seeking to increase transparency and accountability, while fostering innovation. An open source version is being used by other governments to advance transparency and democracy.

National Aeronautics and Space Administration

- ***Open Government Flagship Initiative***

The National Aeronautics and Space Administration's (NASA) web environment provides a wealth of information to the public and is critical in fulfilling the agency's statutory requirement to disseminate information about its programs to the widest extent practicable. NASA's web capabilities provide outside audiences direct access to agency programs and information, allowing the public to participate in the excitement and results of research and exploration. Internally, NASA personnel use websites and services to support NASA's core business, scientific, research, and computational activities.

The first NASA websites appeared in the early 1990s, and the agency's primary site, www.NASA.gov, has evolved since then through four major iterations. The website is the main touch point for millions of people around the world regarding the agency's space exploration and aeronautics mission, attracting 600,000 unique visitors per day, with an average of 43 million hits and average network traffic of 1.29 terabytes per day. The NASA portal alone generates more than 140,000,000 visits a year. The www.NASA.gov website also currently serves as a hub for NASA's social media presence, which includes over 250 social media accounts on Twitter, Facebook, Flickr, Foursquare, Google+, YouTube, UStream, Slideshare, and more.

The NASA website infrastructure also provides development and hosting of approximately 140 internal and external web applications and websites, which are developed using various technology stacks. The www.nasa.gov domain includes 1,590 total websites. External audiences include the interested public, media, students, educators, researchers, industry partners and government partners. As NASA continues to adapt to today's complex, interlinked and fast-changing environment, NASA recognizes that effectively and efficiently creating, researching, managing, preserving, protecting, and disseminating the information required to achieve the objectives of research and space exploration, as well as other NASA missions, is vital to its continued mission success.

As the Flagship Initiative for the second version of NASA's Open Government Plan, NASA will take a fresh look at its web architecture and processes to manage content in order to build an accessible, participatory and transparent web environment based on open and interoperable standards. This effort will provide a new agency-wide capability to create, maintain, and manage the www.nasa.gov website and associated services. NASA will also aim to leverage open source software and cloud computing technologies, and take an integrated approach to create, host, and disseminate digital information in all forms and formats. The goal of this effort will be to provide a consistent, capable and agile, cloud-based enterprise infrastructure that provides a Platform as a Service and Software as a Service supported by an Infrastructure as a Service for internal and external web applications and a majority of the 1,590 external websites using an interoperable, standards-based and secure environment. NASA's goal is that www.nasa.gov will continue to represent the latest in online innovation, and serve as an example of how NASA is rethinking the way its services are delivered online. The new architecture aims to keep NASA relevant across all audiences by creating a flexible platform that can respond to rapidly changing technologies and citizens' expectations.

- ***Mobile Applications and E-Books***

NASA's delivery of information to citizens has been enhanced through the implementation of mobile device applications and electronic books. These new communication channels take advantage of the growing use of mobile devices and tablets by the public. Current examples of mobile applications include Rocket Science 101, International Space Station Live, and 3D Sun. A list of available applications can be found at: www.nasa.gov/connect/apps.html. Electronic Books, or e-Books, are also used to provide information to the public and are offered in three different file formats to accommodate as many electronic reading devices as possible. A listing of e-Books can be found at: www.nasa.gov/connect/ebooks/index.html.

National Archives and Records Administration

- ***Digital Government Strategy***

The National Archives launched a new API for the dataset, "Executive Orders from 1994-2012," through Data.gov. Additional implementation efforts are available at Archives.gov/digitalstrategy. Staff has begun on the agency's implementation of the related Open Data Policy and creation of an Enterprise Data Inventory and Public Data Listing.

- ***Open Government***

The National Archives continued to work on the implementation of NARA's Open Government Plan for 2012-2014, including the flagship initiative to provide innovative digital access to our records. NARA expanded electronic datasets available on Data.gov, including datasets from the Office of the Federal Register and grants data from the National Historical Publications Records Commission. With these

additions we are now featuring 48 NARA datasets on Data.gov. Additionally, we participated in the National Day of Civic Hacking with challenges related to visualizing historical datasets and developing a mobile scanning app for researchers.

- ***The Citizen Archivist Initiative***

In May 2013, NARA's Citizen Archivist Initiative was announced as a Top 25 program in the Innovations in American Government Award from the Ash Center for Democratic Governance and Innovation at Harvard University. Additionally, the Citizen Archivist Initiative received the Walter Gellhorn Innovation Award from the Administrative Conference of the United States in December 2012. National Archives staff continued to work with citizen archivists and provide engaging opportunities on the Citizen Archivist Dashboard, the portal for the National Archives' crowd sourcing activities. We invited public participation in tagging, transcription, editing articles, up-loading images, and contests through a variety of social media posts and presentations, including presentations at Social Media Week 2013 and at South by Southwest.

NARA featured "Old Weather" as an activity on the Citizen Archivist Dashboard. Images of Arctic ship logs from the National Archives were digitized in partnership with the National Oceanic Atmospheric Administration (NOAA). Almost 70,000 images are available in the National Archives' online catalog and are featured on the Oldweather.org for transcription and indexing by citizens. The transcriptions help scientists recover Arctic and worldwide weather observations made by United States ships.

- ***Wikipedia/Wikimedia Foundation***

Since beginning our collaboration with Wikipedia and Wikimedia in 2010, the National Archives has added 127,368 digital copies of its records to Wikimedia Commons and other Wikimedia users have added 2,415 NARA images to the Commons. Of these media files, 5,726 have been used in 44,265 articles in Wikipedia. Wikipedia pages which contain NARA images have been viewed approximately 1,250,000,000 times in FY2013.

- ***Today's Document Tumblr***

Time magazine named [Today's Document Tumblr](#) as one of the top 30 Tumblrs to follow in 2013. By the end of the first quarter of FY 2014, the blog had over 140,000 followers. Additionally, GIFs created by Today's Document Tumblr for the Thanksgiving holiday were featured on GSA's Blog in the "Best Week Ever in #SocialGov edition."

- ***The Digital Public Library of America (DPLA)***

Records from NARA's Online Public Access Catalog became available in the DPLA in April 2013. This collaborative project provides online access to millions of digital items from state and regional digital libraries and several large cultural institutions, including the National Archives, the Smithsonian, the New York Public Library, and Harvard University. In the first quarter of FY 2013, NARA provided content for DPLA's joint online exhibit with Europeana: Leaving Europe: A new life in America. NARA contributed 1.2 million digital copies of records from their online catalog for the April 2013 launch, including the nation's founding documents, the Documerica Photography Project of the 1970s, World War II posters, Mathew Brady Civil War photographs, and a wide variety of documents that define human and civil rights. NARA will provide updated datasets from our online catalog on a regular basis for ingest into DPLA. As of September 2013, NARA has contributed more than 1.9 million digital objects from the agency's online catalog to the DPLA platform, which received more than 180,000 pages

views in September 2013.

- **Google+**

NARA joined the Google+ social platform in October 2012 to provide further access to the records through this social media channel. Through daily posts and creative hash tags, the NARA's page on Google+ has been circled by more than 167,000, and has been “plus one’ed” by more than 181,000 people. One post announcing the public program on the Space Program under Presidents Nixon and Ford was shared in June 2013 and received 164 “plus ones” and 52 shares. The addition of Google+ to NARA’s social media offerings has opened up another important channel to reach the public online.

National Science Foundation

- ***Award Cash Management Service (ACM\$)***

In April 2013, the National Science Foundation (NSF) rolled out ACM\$, an approach to award payments and post-award financial processes that transitioned financial processing of payments from a “pooling” method to a “grant-by-grant” method. ACM\$ allows awardee organizations to submit cash requests and adjustments to open and closed awards, and provides access to award-level information on payments and award balances. This requires the submission of award-level payment amounts each time awardees request funds, and, because award information is presented in real-time, eliminates the need for awardees to submit quarterly Federal financial reports. The implementation of ACM\$ provides increased transparency and accountability in the stewardship of federal funds, more up-to-date information on how tax dollars are being spent, and complies with new standardized financial reporting requirements. It reduces the need for manual accounting processes, including reconciliations and adjustments, and allows for quicker identification of awardees that need technical assistance. Since its implementation, ACM\$ has processed 316,947 cash requests worth \$3,856,014,399.

- ***Research Performance Progress Report (RPPR)***

The RPPR is the result of a government-wide effort to create greater consistency in the administration of Federal research awards by streamlining and standardizing reporting formats for research or research-related activities. NSF has led research agencies in the development of an RPPR data dictionary. In March 2013, annual, interim and final project reports were transitioned from NSF’s legacy system, FastLane, to www.Research.gov using the RPPR format. The new www.Research.gov Project Reporting Dashboard has made it easier for NSF awardees to see which reports are due or overdue, and provides access to all reports submitted to NSF. It also provides a more structured collection of data, access to a rich text editor and PDF upload to support images, charts and other complex graphics, and improved citation search. Additionally, special reporting requirements are now controlled by solicitation, and awardees no longer have to manually enter demographic information on significant participants. Since project reports were transitioned, awardees have submitted more than 48,000 project reports and NSF has released four sets of enhancements (prioritized based on user feedback) to continue to update the project report service. NSF will continue to enhance www.Research.gov to meet the high standards expected from awardees.

Nuclear Regulatory Commission

- ***Web Analytics and Site Enhancements***

The Nuclear Regulatory Commission (NRC) uses web analytics to identify frequently requested official agency information to enhance delivery via web APIs and mobile solutions. NRC also obtains input to

identify, scope, and prioritize opportunities by reaching out to stakeholders across functional, programmatic, and geographic areas. For example, NRC invited the public to comment on proposed choices through a web-based comment form, traditional mail, email, phone, fax, a blog post, their Twitter feed, and RSS feeds. In addition, NRC published an article, entitled “Digital Government and Technology Enhancements,” in the staff newsletter (the NRC Reporter) to provide an update on the status of the Digital Government program and work to leverage current infrastructure. The article invited staff to share their thoughts on systems (data feeds) that should be given priority to be made available via web APIs, as well as priority services to be optimized for mobile use. Customer feedback and NRC responses are available at: www.public-blog.nrc-gateway.gov/2012/08/22/taking-the-next-step-building-a-21st-century-digital-government/#comments.

Using input obtained through these channels, NRC prioritized opportunities for implementation based on strategic alignment, scope, anticipated efficiencies, complexity, development time, enterprise applicability, and costs, and developed a plan for transitioning high-value systems to leverage APIs and mobile services. Consistent with that plan, NRC released an API for the web-based Agencywide Documents Access and Management System in February 2013, ahead of the deliverable date of May 2013. The API enables users to make more complex queries to a library of more than 800,000 publicly available documents and reports. In addition, developers, entrepreneurs, and interested citizens can use NRC’s RSS Feeds as simple APIs for packaging information on nuclear power plant status, event reports, recent news releases, and more. In May 2013, NRC also published a new web page for developers, which includes a Developer’s Guide and sample queries for available APIs.

NRC expanded mobile services in January 2013 to include support for the 2013 Regulatory Information Conference. NRC also plans to support web-based staff access to email, calendaring, and contacts using personally owned mobile devices, and include mobile web-based access to their Public Meeting Feedback System to collect feedback from stakeholders who attend public meetings.

Office of the Director of National Intelligence

In FY13, all ODNI public websites were assessed for system compliance with Section 508 of the Rehabilitation Act of 1973 and all deficiencies were addressed, resulting in 100% compliance of ODNI public websites. In late FY12, ODNI procured a 508 auditing tool to streamline the process of 508 compliance testing after completing an evaluation of over 125 tools. Evaluations were performed against all ODNI external facing websites, using this tool, which identified deficiencies to be addressed. All site owners were provided the 508 scan analysis results sighting all failures and all failures were resolved to reach 100% compliance. ODNI continues to monitor each site to ensure continued compliance and regular audits.

Concurrently, ODNI underwent an effort to incorporate Section 508 compliance in the development and policy of our websites. Section 508 auditing will be built into each development team requirements, test plan, and deliverables as addressed in the Application Development Strategy Plan. ODNI has created templates and other tools to provide for ease of use and to ensure consistency among development efforts, including a 508 checklist, 508 standard requirements, and 508 standard test scripts. Application development contracts now include 508 compliance standards in the contract document and Statements of Work. All COs and COTRs have been briefed on the requirement to include this Section 508 language in future contracts. ODNI is in the process of creating an Internal Process Document, as well. ODNI has begun to reach out to the Intelligence Community CIOs and DOD and actively participates in the evolution of Section 508 technical approaches. In particular, ODNI meets with several IC agencies, such as NSA and CIA, to help them with their efforts and ensure we stay on the same track as we move towards

creating a tiger team across the IC to further incorporate Section 508 compliance. In FY14, ODNI will be briefing the IC CIO Council meeting to officially kick off the IC effort and to support the next steps by assimilating this into other IT environments and web-based applications.

Office of Personnel Management

- ***Mobile Applications***

In FY 2013, OPM launched mobile applications with accompanying APIs for two major OPM services: USAJOBS and the Federal operating status. The USAJOBS application improved a highly valued government service by making it more widely available to users on mobile devices. USAJOBS introduced an iOS (for Apple devices) application in FY 2012, and subsequently received requests to add an Android version, which they introduced in FY 2013. Both versions of the application allow users to search for jobs, save jobs and searches, receive status notifications, share job openings via email and on social networks, and view the status of their applications. At the same time, OPM released a Representational State Transfer-based API that is lightweight and designed to provide data on public jobs to commercial job boards, mobile applications, and social media, and a Simple Object Access Protocol-based API that provides full Job Opportunity Announcement content for public jobs. The data available via this API mimics the data presented on USAJOBS and has more detailed content that agencies require for their personalized career sites.

The Federal government's operating status decisions affect the lives of nearly everyone in the Washington, DC metropolitan area. Federal employees use OPM's operating status information whenever there is bad weather or an unexpected major event such as an earthquake. Local businesses and other organizations often make their own operating status decisions based on the Federal government's decision. The Federal Government Operating Status application, OPM Alert, improved the speed of delivery of key information to a wider range of people, and automatically delivered information to users' devices. The application works on both iOS and Android devices, as well as BlackBerry and Windows. Since many Federal employees use BlackBerry devices for work, it was particularly important that OPM served users on that platform. In conjunction with the app, OPM released three APIs, one that provides real-time data on the Washington, DC-area operating status, one that lists the available status types, and one that provides status history back to January 1, 1995.

Small Business Administration

- ***Mobile Applications***

The Dynamic Small Business Search (DSBS) is a search tool that accesses information pooled from internal and external systems and offices. This system is used by small businesses to increase their visibility to government and business procurement offices searching for small businesses to meet small business contracting goals. The DSBS mobile application will allow contracting officers to search for small businesses that meet their supply chain needs from a mobile device. Additionally, small businesses on the go can search for other small business for possible partnership. The available API with metadata tag is available at: www.sba.gov/content/dynamic-small-business-search-dsbs-api.

Another SBA application is the Lender Search Mobility Application, a centralized database containing information on organizations that partner with the SBA to provide services to the small business community. Phase 1 of the Lender Search mobility application will provide users summary and detailed access to organizations that partner with SBA to provide services to the small business community. The

available API with metadata tag is available at: www.sba.gov/content/lender-search-api.

Social Security Administration

- ***Online Disability Package***

Electronic government has been a core tenet in the Social Security Administration's (SSA) plan for continuous improvement in service delivery to the public. SSA provides data and services via several digital service channels including telephone, online, formal data exchanges, web-services (machine to machine), and most recently, mobile. SSA also offers many electronic services to third parties who do business with SSA, including the military, Federal and state agencies, foreign agencies, and private service providers.

The online disability package combines the internet claim application (iClaim), the internet form 3368 "Disability Report," and the electronic form 827, "Authorization to Disclose Information to the Social Security Administration." This package provides a complete online disability application process for most first parties who do business with SSA online. For the field offices, this release ensures all new i3368 forms have a corresponding iClaim on file, saving time and improving service by reducing the need to contact claimants for additional information. This release will eliminate direct access to the i3368 and provide a single re-entry and confirmation number for all steps in the application process. The application may also save users time due to the elimination of redundant data elements and increased propagation from the iClaim to the i3368. An additional new feature for the disability report will be the ability to use foreign, military, or diplomatic mailing addresses.

- ***iAppeals Improvements***

SSA is enhancing the online application, which allows the public and their representatives to file an appeal of an unfavorable medical decision on a claim for Social Security disability benefits. SSA has reorganized forms, simplified the submission process, reduced redundant typing, improved navigation, and made a variety of general customer friendly improvements. SSA will add a new feature allowing users to upload and submit supporting documents with their online appeal. Currently, users must mail or fax additional forms and documents to a local office after submitting an online appeal. These changes will help users complete their appeals online, reduce the need for contact with local SSA agents, and speed up the processing of appeals that were previously delayed due to incomplete submissions.

APPENDIX C: PERFORMANCE INTEGRATION

In accordance with Section 202(b) of the E-Gov Act, this appendix describes what performance metrics are used and tracked for IT investments, and how these metrics support agency strategic goals and statutory mandates. The performance metrics described in this section focus on customer service, agency productivity, innovative technology adoption, and best practices. Where applicable, this section also includes a description of agency valuation models, how those models are used, and URL's for performance goals related to IT.

Department of Agriculture

The USDA Office of the Chief Information Officer (OCIO) through its ACIO Technology Planning, Architecture, and E-Government capital planning staff, works closely with IT investment owners to emphasize alignment with business functions. The new USDA IT governance process integrates program management, capital planning, enterprise architecture, security, and budget formulation to enable critical decision making by the CIO and USDA executive boards throughout the program's life-cycle. The 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 and 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, in FY 2013 more than half of USDA's total discretionary IT funding is dedicated to providing services to citizens. Additionally, \$1.0 billion of the FY 2013 IT portfolio is managed as Major Investments. These Major Investments include nearly 1,400 individual performance measurement Areas. 357 measures of these measures are focused on mission and business results, and 284 measures are focused on customer results. These measures include the average number of days required to complete Direct Loan processing (from application completed to final disposition); the number of states with average Direct Loan processing time greater than 35 days; and the number of resolutions that occur within five business days, or in some cases, within agency agreed upon timelines.

Department of Commerce

DOC continues to use several processes to effectively monitor and track performance of IT portfolios and investments. A primary initiative is the Balanced Scorecard (BSC) system, which tracks and measures program and bureau performance in support of departmental priority goals on a quarterly basis. BSC progress, issues and concerns are briefed on a quarterly basis to the Deputy Secretary of Commerce. Another method is the Commerce IT Review Board (CITRB) which evaluates IT project/program and portfolio performance, progress risk and health. The CITRB is chaired by the CIO and co-chaired by the Chief Financial Officer (CFO). All major IT projects brief the CITRB either annually or bi-annually depending on criticality, risk, and CIO concern. The CITRB also conducts TechStat reviews at the departmental and bureau level for IT initiatives that have problems, or issues that are preventing the initiative from successfully meeting the mission, or being completed on schedule or on budget.

For tracking IT investment performance, DOC utilizes two BSC metrics that measure the activities of the CITRB:

1. TechStat reviews performed on "red" rated IT projects/programs that are "red" rated for three or more consecutive months within a one year period. DOC's target is to review 100% of sustained

“red” rated IT Projects within a 12 month period.

2. Percent of major IT projects undergoing CITRB or TechStat reviews per fiscal year. DOC's target is to review 50% of major IT projects per fiscal year (approximately 21 reviews conducted).

Department of Defense

DOD Instruction 8115.02, “Information Technology Portfolio Management Implementation,” provides the procedural foundation for the analysis, selection, control, and evaluation of IT investment portfolios that focus on improving DOD capabilities and mission outcomes.⁸ Evaluation includes the development and application of outcome-based performance measures that are used to guide portfolio development and evaluate performance. Governance forums are established to manage these portfolios. For example, the Defense Business Council, chaired by the DOD Deputy Chief Management Officer, serves as the principal governance body to the Deputy’s Management Action Group (DMAG) as a mechanism for defense business operations and as the department’s IRB for defense business systems. This forum oversees application of system outcome oriented performance measures and reviews performance results to track progress against strategic goals such as interoperability and reduction in duplication. Various metrics are used in the structured review process of systems by the IRB and other review governance forums in support of the review and certification of systems.

Department of Education

The performance metrics for agency IT investments are developed in the Enterprise Architecture Segment Modernization Planning Process. The department categorizes its IT investments into 13 lines of business (LOB). LOB performance goals and objectives are aligned to those of the agency and are focused on innovation, customer service, continuous process improvement and organizational performance management. The Planning and Investment Review Working Group periodically evaluates performance metrics of these LOB's. The department also uses value and performance metrics to evaluate its IT investments with its value measurement methodology (VMM); the results are used to make funding and management decisions. The VMM process contains five steps:

1. Establish mission priorities
2. Define value drivers
3. Prioritize and select
4. Execute and deliver
5. Assess value and benefit

In conducting the VMM process, the OCIO and LOB Senior Executives develop and prioritize mission priorities to which all IT investments align. These mission priorities include:

- Managing loan and grant programs efficiently and effectively;
- Effectively disseminate information about Education programs;
- Ensuring compliance with Federal law regarding access to education;
- Evaluating Education program performance; and,

- Providing common services that improve workforce productivity.

The department's senior executives develop value drivers in specific performance areas, including strategic plan alignment, cost reduction and avoidance, productivity and efficiency, and effectiveness and capacity. IT investments are then given a value score based on their alignment to the established mission priorities and value drivers. IT Operational Performance Metrics are available at:

www.itdashboard.gov/portfolios/agency=018.

Department of Energy

The DOE 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. This information is available on line at:

- www.energy.gov/ig/downloads/combined-fiscal-year-fy-2012-annual-performance-results-and-fys-2013-and-2014-annual

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

- www.energy.gov/downloads/2011-strategic-planhttp://www.energy.gov/ig/downloads/combined-fiscal-year-fy-2012-annual-performance-results-and-fys-2013-and-2014-annual

Department of Health and Human Services

HHS requires annual operational analyses of IT investments. The Annual Operational Analysis Practices Guide describes how to measure performance in four specific areas:

1. Customer Satisfaction - Measures performance in terms of the extent to which the investment supports customer processes as designed. Focuses on how well the investment delivers the services it was funded to deliver (i.e., effectiveness), and considers stakeholder perception on whether the costs associated with providing the service is as low, to the customer, as it could be. Customer Satisfaction data is typically collected via surveys and measured via both quantitative and qualitative metrics.
2. Strategic and Business Results - Measures the investment's impact on the performance of the operating division and HHS. These results provide a measure of how well the investment is meeting business needs, whether it is aligned with and contributing to the achievement of the operating division or HHS strategic goals.
3. Financial Performance - Measures and compares current cost-related performance with the pre-established cost baseline. While financial performance is typically reported as quantitative measures, the investment should also be subjected to regular reviews for cost effectiveness and efficiency.
4. Innovation - Addresses the extent to which the project team is tracking emerging technologies. Also involves performing ongoing analyses of alternatives for achieving the same or better customer results and strategic goals at better cost, performance, and risk levels than the current solution.

Department of Homeland Security

DHS uses performance metrics to track and evaluate IT investment performance through budget submission, operational analyses (OA's), and IT program health assessments. The annual budget submission for IT investments uses performance measures related to mission and business results, customer results, process and activities, and technology. These measures are tracked monthly and scored annually to ensure the investment is performing. OA's are required on an annual basis on operational IT systems. The OA's require investments with operational IT systems to provide performance metrics to justify continued investment in the asset. Specifically, the Program Manager must provide performance measurement results in areas of customer satisfaction, overall operational performance, and innovation. By design, the OA requires the agency to consider innovative technology and best practices as part of the evaluation. Additionally, DHS conducts Program Health Assessments using criteria to determine the health of IT programs, and reports the scores on the *Federal IT Dashboard*. The scoring criteria contain performance targets that are assigned a point value (0-10) based on the level of achievement in a particular area. Scoring also covers the degree to which performance areas were addressed in any OA's associated with the program. The Health Assessment is used to help ailing IT programs course correct and may lead to a TechStat being performed on the program.

The results of these evaluations are used to support Federal mandates for increased accountability and performance in IT investments. Well performing, relevant IT investments may continue to be funded by DHS while poor performing IT investments may be paused for review and course correction or stopped and perhaps eliminated. DHS also participates in required monthly reporting to the Federal IT Dashboard, www.itdashboard.gov.

Department of Housing and Urban Development

The HUD IT Strategy Implementation Action Plan (IAP) will define a specific set of activities intended to allow HUD to achieve the goals and objectives established in the IT strategic plan. The IAP encompasses target performance measures, activity phases, subordinate actions, and time periods associated with achieving all objectives of the IT strategy. Consequently, this plan provides the basis for assessments that monitor progress of the IT strategy. Performance will be measured against two interrelated dimensions: performance goals identified for each objective in the strategic plan; and progress made on tasks/activities listed in the IAP. Periodic assessments will compare current performance to the performance baselines and performance established in the prior assessments. At the investment level, HUD tracks both operational performance and other investment level metrics.

Department of the Interior

The DOI Enterprise Architecture (EA) Program is involved in strategic planning and performance management at various levels of the organization. DOI has established metrics and a measurement methodology for measuring the value of EA to DOI. The EA Program performs the measurement process annually, updates measures, re-baselines, identifies appropriate targets and timelines, collects and analyzes results, and drives increased EA Program value. In addition, one of the key fundamental processes implemented by DOI's OCIO officials is managing IT organizational change. DOI recognized the importance of establishing targets and monitoring actual performance to effectively achieve IT Transformation goals.

Department of Justice

At DOJ, performance planning and reporting is companion to the budget process. Effectively defining and measuring program results are essential elements of resource allocation decisions and are an integral part of the budget planning and monitoring process. DOJ provides detailed component-specific annual performance plans within individual budget submissions, which also serve as the department's annual performance plan. The DOJ Performance Accountability Report (PAR) provides a summary discussion of the progress that DOJ has made against its three strategic goals. The report provides clear information about performance against the 12 key performance measures for the department's goals by detailing program objectives and FY 2011 targets and actual performance, as well as whether targets were or were not achieved. Each key performance measure also includes information related to data collection and storage, data validation and verification, and data limitations. These metrics represent just a portion of the workload and performance metrics that components report to the budget office on a quarterly basis.

In addition to the PAR, DOJ collects performance metrics on each of its major IT Investments. Each major IT Investment must have a set of performance metrics which measure the effectiveness of the investment in delivering the desired service, support level, or program result. The investment-specific metrics cover a wide area of performance including Customer Results, Processes and Activities, Technology, and Mission and Business Results. These metrics are tracked and reported throughout the year through the Federal IT Dashboard. Additionally, these metrics are linked to the DOJ and Component Strategic Goals and Objectives as appropriate.

Department of Labor

DOL IT investment performance goals, measures, and metrics are developed and aligned to the Department's Strategic Plan, the DOL 5-year IRM Strategic Plan, and to applicable agency's annual operating plans. IT investment performance measures and metrics are developed and managed in accordance and compliance with the Performance Reference Model (PRM) as described in The Common Approach to the Federal Enterprise Architecture. The PRM defines thirteen standard measurement areas and the associated measurement categories used to track measures and metrics. At DOL, IT Investment Integrated Project Teams (IPTs) create annual IT Investment Target Architecture documents that describe the specific performance measures and metrics that are used, tracked, and managed for each IT investment and report that data to the OCIO as part of the CPIC process and the monthly OMB IT Dashboard reporting process. Specific DOL IT investment performance goals and metrics can be viewed on the OMB IT Dashboard at: www.itdashboard.gov/portfolios/agency=012.

In FY 2013, the DOL OCIO established an IT investment focused Program Review Board (PRB) to oversee and manage the performance of cross-cutting department-wide IT investments at DOL. The PRB is comprised of OCIO and agency subject matter experts and key agency stakeholders whom review the status of project activities and provide recommendations to support the timely and successful implementation of the major IT investments. The PRB process is working effectively and has already proven to be a valuable proactive performance management tool in managing DOL's major IT investments as well as stakeholders' expectations. The DOL annual Operating Plans align with and support the DOL Strategic goals and describe their fiscal year priorities and key program activities and strategies to be accomplished, including associated performance measures. Agency performance measures include mission operations, productivity, service, and/or customer service oriented measures/milestones. The department tracks progress toward achieving its annual and strategic goals by using quantifiable performance measures.

Department of State

State IT investments adhere to an enterprise-wide standard for the development and tracking of performance metrics. Investment performance metrics are centered on four strategic areas: customer service, mission and business, process and activities, and technology. Performance metrics are developed, measured, and reported at the program level to ensure greater insight into the IT operational activities supporting the department's mission and are reported monthly to the Federal IT Dashboard as part of OMB's capital planning and investment control (CPIC) requirements. Metrics are aligned to the department's Quadrennial Diplomacy and Development Review (QDDR) and address how programs support the goals and objectives identified in the IT Strategic Plan.

The E-Gov Program Board, a governance body comprised of department senior leaders, prioritizes the IT portfolio based on business value, health, and the management of IT resources in adherence to State project management standards. This prioritization process is used to evaluate IT investments and make funding and management decisions, and involves the following: assessing the investment's business value; evaluating the investment's alignment to the QDDR and IT Strategic Plan, customer/stakeholder needs, and the identification of continuous customer and technology improvements methodology; monthly reporting of investment cost and schedule health to determine if investments are meeting performance standards; and evaluating the execution of projects against department project management standards. Each phase of the prioritization process is reported to members of the E-Gov Program Board by the CIO and the Director of Budget and Planning to support budget and management decisions. IT Operational Performance Metrics are available at: www.itdashboard.gov/portfolios/agency=014. Information on Planning, Performance, and Budget can be obtained on the state.gov website located at: www.state.gov/s/d/rm/c6113.htm.

Department of Transportation

DOT's Integrated Program Planning and Management (IPPM) framework suggests a risk-adjusted Net Present Value (NPV) approach for evaluating the value of agency IT investments. DOT recognizes that NPV is but one method for evaluating an investment's worth against its costs, and has reallocated contractor resources to develop a more robust IT investment valuation model. The model will build on the DOT EA Roadmap, which identifies a number of IT-related strategic themes. These include:

- Data accessibility and information sharing;
- Data completeness and granularity;
- Root cause analysis and risk-based resource targeting;
- Transparency, participation, and collaboration;
- Delivering [operational] efficiencies to increase [transportation infrastructure] capacity;
- Improved forecasting and prioritization capabilities;

Department of the Treasury

Treasury's CPIC portfolio contains 252 investment performance metrics, of which 151 are tied to agency strategic goals. Treasury's strategic goals are supported by a number of metrics measuring customer results, mission and business results, process and activities, and technology. Specific details of individual performance metrics may be found on the IT Dashboard as part of Treasury's statutory CPIC

reporting.

Department of Veterans Affairs

The FY 2014-2020 VA Strategic Plan provides the department's long-term direction and places a stronger emphasis on defining success by veterans' outcomes; enhancing the quality of and access to benefits and services through integration within VA and with our partners; and developing our workforce with the skills, tools, and leadership to meet our clients' needs and expectations. The VA seeks to transform into a high-performing 21st century organization that adapts to new realities, leverages new technologies, and serves a changing population of veterans. VA has built their strategy around three guiding principles: people-centric, results driven, and forward-looking. The VA's strategy is aimed at accomplishing four strategic goals:

1. Improve the quality and accessibility of health care, benefits, and memorial services while optimizing value.
2. Increase Veteran client satisfaction with health, education, training, counseling, financial, and burial benefits and services.
3. Raise readiness to provide services and protect people and assets continuously and in time of crisis.
4. Improve internal customer satisfaction with management systems and support services to achieve mission performance and make VA an employer of choice by investing in human capital.

U.S. Agency for International Development

USAID's Office of the Chief Information Officer Project Management Office (USAID/CIO/PMO) assists project teams with developing and tracking performance metrics that support agency strategic goals, statutory mandates, and other governmental goals and requirements. Unique performance measures are developed for each project in the IT portfolio. These measures focus on:

1. Mission and business results that projects deliver in support of agency strategic goals;
2. Customer service;
3. Improvements to business processes and activities;
4. Deployed technology performance; and,
5. Project execution.

These performance measures incorporate the following "Performance Indicators" as some of the metrics of effective project performance: Customer Benefit, Service Coverage, Timeliness and Responsiveness, Management and Innovation, Productivity, Technology Costs and Effectiveness. All performance measures developed for the projects are mapped to the agency's strategic goals and objectives. The performance measures are tracked through the project's development, modernization and enhancement phase into the operations and maintenance phase.

In coordination with the PMO, USAID M/CIO's Process and Quality Management (PQM) office has developed an IT Project Governance Manual that establishes the processes and procedures used to manage IT projects at USAID. The manual outlines the basic IT Project Governance requirements for the agency, including system engineering, project management, and governance processes codified as the

USAID “IT Project Life Cycle Methodology (ITPLCM).” The manual provides for a formal, structured, and integrated approach to managing agency IT projects. USAID IT Project Governance emphasizes best practices and decision processes that enhance the effectiveness of system development projects and the delivery of IT systems. The manual identifies a methodical progression of best practice action items that are to be systematically and uniformly performed throughout the life cycle of an IT project. This progression ensures that key decisions made along the way result in effective systems that fully consider enterprise direction, priorities, and business processes; functional process, data, and information requirements; laws, mandates, and audit requirements; economic and technical constraints; and development and on-going operational risks.

USAID IT Project Governance incorporates project, configuration, security, and portfolio management processes as well as complementary enterprise disciplines, including CPIC, Enterprise Architecture, and USAID’s Automated Directives System’s required policies and procedures. IT Project Governance focuses on delivering IT systems that:

- Meet or exceed customer needs and expectations;
- Work effectively and efficiently within the current and planned technical infrastructure;
- Offer production-quality reliability and performance;
- Are inexpensive to maintain and cost-effective to enhance IT projects undertaken at the agency; and,
- Follow USAID’s framework or use a comparable best-practices methodology with similar phases, tasks, milestones, and deliverables.

The implementation approach specifies a well-defined governance structure with change management procedures, and periodic status and phase-gate reporting. During the project start-up phase and on an annual basis, project managers and senior technical and functional team members will complete training on the IT Project Governance Framework and Manual. At the end of training, all participants will be required to pass a certifying test that demonstrates knowledge of the Governance Manual and its use.

The strategic objectives for the IT project governance methodology are to:

- Provide predictably consistent systems within cost estimates;
- Institutionalize policies, procedures, standards, and best practices;
- Facilitate cross-functional communication, coordination, and collaboration; and,
- Provide for ongoing process improvement and a means to incorporate “lessons learned.”

The IT Project Governance Manual specifies that compliance with IT Project Governance at USAID is mandatory, and all IT projects, including software development and third-party systems, are subject to compliance reviews and audits. These reviews are formally identified as “Phase Gate Reviews.” Phase gate reviews are conducted to assess project status, quality, risks, compliance with requirements, and ensure stakeholder / customer acceptance and ownership. This process helps determine if the project is ready to proceed into the next stage or phase. Projects cannot continue beyond a current phase gate

without full or conditional approval from the applicable review board. The most common phase gate review body is the Project Review Board (PRB). The PRB is composed of senior stakeholders representing USAID IT functional, governance, and customer areas.

Environmental Protection Agency

The EPA's approach to IT-metrics is multi-faceted. EPA reports performance metrics on major investments to the OMB IT dashboard monthly. These metrics capture cost and schedule, and operational metrics that are unique to each investment. EPA is finalizing its Information Resources Management Strategic Plan. This plan evaluates the five-year strategic objectives of the agency and aligns its IT objectives to the agency strategic objectives. The appendices to this plan tie together the agency strategic objectives, the metrics for those objectives, and the IT data sources for assessing the metrics. The EPA Enterprise Architecture (EA) team works with investments to ensure that they address documented business needs and that they map to Agency strategic objectives. The EA team has developed metrics that establish the value of EA services, such as the standardized Solution Architecture models and the completeness of mandatory data sets.

General Services Administration

Performance measurement plays a critical role in ensuring GSA meets its IT Strategic Business Plan goals and objectives. By monitoring various levels of performance measures, the agency is able to identify whether the strategic plan is relevant and responsive to changing conditions. Agency-wide IT strategic goals are issued as part of the IT Strategic Business Plan.

Major IT investments are required to demonstrate how the IT investment will move toward agency's strategic goals' achievement, using specific performance metrics appropriate to the business mission and link to program, and process management. The CPIC process also enables project performance measures to be monitored monthly to ensure investments are updating their measures timely and identifying whether investments are meeting the stated targets. Review of the operational measures enables the agency to perform root cause analysis and identify opportunities for improvement. GSA is also consolidating its IT resources and developing a new IT services-focused strategy and is re-baselining its IT Portfolio, both of which will be articulated in the annually updated IT Strategic Plan for FY 2014-FY 2016.

National Aeronautics and Space Administration

As NASA's consolidation efforts matured over the past ten years, the Agency has addressed the needs related to the on-going analysis of mission needs to ensure systems, equipment, and services meet operational performance requirements. NASA has reduced the total number of data centers from the original 79 reported to 35. NASA reaffirmed its commitment to reduce to approximately 22 data centers by 2015. NASA has also completed the laptop encryption effort for all computers containing personally identifiable information, and international traffic in arms regulations and export administrations regulations information. The installation of this encryption software is required before a laptop can be removed from a NASA facility.

Over the past year the Enterprise Service Desk (ESD) supported the I3P initiative and NASA customers 24 hours a day, 7 days a week, and 365 days a year. ESD provides a central service desk, service request system, a self-service, Tier 0 Web portal, knowledge sharing capability, ability to centrally capture and provide notifications, and system status capabilities. Since ESD began operating in November 2011, metrics show the progress and success of the project whereby customer satisfaction is at

95%; 85% of calls are answered within 60 seconds; the call abandonment rate is 2.8%; and first call resolution on Tier 1 related items is at 92%. Overall, 280,000 incidents and over 115,000 service requests have been processed, which represents an increase of approximately 12% and 15% respectively in volume year over year.

NASA is working to re-architect NASA's Wide Area Network to establish a defensible Agency network perimeter. This will greatly enhance NASA's security posture. On NASA's mission network, the Agency will complete the replacement of all routers on the core mission backbone and has begun work to have the mission and corporate utilize a common backbone providing significant cost savings as well as increased security posture. OMB's IT Dashboard assists NASA in the monthly monitoring of strategic investments. Investment metrics are captured and reviewed at both the Center and Agency level and periodically reviewed with the NASA CIO. Performance metrics are included in this effort and are also published to the IT Dashboard. The majority of these metrics focus on customer service (i.e., response time to the customer) and productivity (i.e., uptime of a system). NASA IT infrastructure metrics can be found at: www.itdashboard.gov/investment?buscid=46. Other metrics are shown under the individual NASA IT investments listed in the "Investment" tab on the following page: www.itdashboard.gov/portfolios/agency=026.

National Archives and Records Administration

NARA uses performance metrics to track progress towards achieving strategic goals and objectives. The same process is followed with an IT investment as with any mission or non-IT program. NARA recently realigned their investments into a concise set of six portfolios to better represent NARA's business practices. In addition to being aligned with the specific business functions, these portfolios and investments are aligned with the enterprise technical and business architecture. Three of these portfolios are currently also tracked as major IT investments, with multiple performance measures in the areas of business results, customer results, process and activities, and technology. These metrics are reviewed regularly and have aggressive annual targets. NARA performance based reporting is focused on public facing applications. A variety of performance metrics are tracked and reported such as availability, number of users, and cost per visit for public facing applications. In addition, customer satisfaction with NARA's helpdesk services and the percent of help desk responses that are completed within four hours are also tracked. These portfolios relate directly to NARA's ability to carry out major operational processes, which enable mission accomplishment. These investments support the processes and infrastructure required for NARA to preserve and protect its holdings while providing access in an efficient and timely manner. For investments that are in an operations and maintenance phase, performance metrics are designed to illustrate the outcomes and results of these investments.

National Science Foundation

NSF's information technology systems support the key business processes related to the agency's mission: identifying and funding work at the frontiers of science and engineering. The Federal IT Dashboard includes metrics tied to NSF's key IT investments, covering a range of goals related to the agency systems that support the mission. For example, NSF's Legacy Mission Applications investment includes metrics demonstrating that the processing of research proposals, our core mission, is performed in an automated environment from receipt of the proposal through to the actual award. The metrics indicate that 100% of agency awards are processed electronically through NSF's proposal processing system. This high level of automation contributes to agency productivity. Similarly, our IT Infrastructure, Office Automation, and Telecommunications investment includes several metrics related to customer service and agency productivity. The results of these metrics indicate high levels of customer satisfaction, illustrating that NSF's integrated help desk, which focuses on internal and external

customers, is operating effectively. Additionally, NSF demonstrates a high level of system and network availability, which contributes to the efficient operational performance of the agency. NSF's IT Dashboard page is located at: www.my.itdashboard.gov/portfolios/agency=422.

Nuclear Regulatory Commission

The NRC requires identification, tracking, and monitoring of performance metrics for each investment throughout the “control” and “evaluate” phases of the CPIC process. Additionally, a summary metric for each major system is included in the System Owners’ performance plans and combined with other performance plans. For each IT investment, the NRC develops key performance metrics based on goals outlined in the agency’s *IT/IM Strategic Plan*, specifically Information Access, IT Solutions, and Customer Service. To support the IT Solutions goal, the NRC initiated a pilot of our recently approved Value Model, which values IT/IM investments based on factors such as number of users, mission impact, and cost to the agency. As part of this pilot, the NRC used the Value Model to identify opportunities to reduce FY 2014 spending on IT/IM investments, and to evaluate proposed FY 2015 investments. The results of the pilot will assist the agency’s senior management in identifying budget reduction opportunities, as well as refining the Value Model for FY 2016 budget formulation. In addition, the NRC will use the Value Model to establish accurate portfolio information for IT/IM investments that require submission to OMB for sound planning, budgeting, acquisition, and management throughout the project life cycle. For FY 2013, the existing measures focus on customer service, IT investment transparency, business value of technology solutions, productivity, and operational effectiveness (with a focus on infrastructure to support business needs). All of these metrics are aligned with OMB guidance and the Reference Models associated with the Federal Enterprise Architecture Common Approach. Specifically, the NRC tracked and monitored the following performance metrics for IT/IM investments in FY 2013:

- IT Investment Management Score
- Agency IT Investment Transparency
- PortfolioStat Assessment
- Value Model Assessment Score

Office of the Director of National Intelligence

The third strategic goal in the August 2009 National Intelligence Strategy, Deliver Balanced and Improving Capabilities, necessitates IT Service Management (ITSM) service providers continuously reassess and adjust to prepare for tomorrow's challenges while ensuring the user community can meet today's missions. Enterprise Objective 4 (E04), Improve Information Integration and Sharing, supports the NIS third strategic goal.

The main ODNI ITSM Service Provider, the Infrastructure Services Group (ISG), a forward deployed CIA service provider, adopts several best practices in the delivery of IT service. Most noteworthy are the Information Technology Infrastructure Library (ITIL) and the Project Management Body of Knowledge (PMBOK) based Project Management Framework (PMF). ISG has adapted these best practices to meet the diverse requirements of the ODNI IT user community.

A comprehensive view of IT health is provided through the monthly DNI Dashboard and ISG Scoreboard, and the Weekly DNI IT Status Report. These reports provide a series of Key Performance Indicators (KPIs) that track volume and trends of IT service delivery. Service Level Targets (SLTs) are tracked as an indication of how well ISG and other service providers meet mission requirements. Network availability,

time to grant accesses, capability, volume of email, customer satisfaction, help desk activity, requirements and projects created and closed, incidents and service requests created and closed, and video teleconference service are examples of metrics regularly viewed. Additional weekly reports are shared with service providers such as missed SLTs and new requirements. Ad hoc reports, such as root-cause analysis of SLTs missed and process variation, are produced.

Office of Personnel Management

OPM IT investments analyze and establish their performance metrics. OPM tracks the performance metrics to ensure excellent customer service, to maximize business value of IT, and to find ways to manage the programs more efficiently. Performance metrics are reported monthly, quarterly, and semi-annually on the Federal IT Dashboard demonstrating the "business value" of the investments to the taxpayer beyond just successful project cost or schedule management. These metrics are analyzed and briefed to the CIO weekly, to the IRB, and in Chief of Staff meetings as to progress of whether the metrics are met or not and any corrective actions to follow if necessary. Multiple statutory mandates and OPM strategic goals drive the metrics. For instance, the OPM strategic goals "Ensure the Federal workforce and its leaders are fully accountable, fairly appraised, and have the tools, systems, and resources to perform at the highest levels to achieve superior results" and "Help agencies recruit and hire the most talented and diverse Federal workforce possible to serve the American people" are evident in the following performance metric examples:

1. Consolidated Business Information System: Resolution of help desk tickets/incidents, percentage of time taken to resolve incidents by criticality. Number of incidents solved within the acceptable timeframe/total number of incidents*100 (monthly).
2. EHRI eOPF: Web-based customer satisfaction survey to HR Specialists and employees using eOPF. Percentage of respondents that are satisfied or extremely satisfied (quarterly).
3. USA Staffing: Customer satisfaction and organizational effectiveness, i.e., percentage of customers confirming USA Staffing services contribute to improved organizational effectiveness (semi-annually).

Small Business Administration

SBA assesses performance at both the program and agency-wide levels. SBA uses the Annual Performance Report to report the agency's performance with respect to each of its particular missions. SBA's Summary of Performance and Financial Information FY 2012 is available at: www.sba.gov/sites/default/files/files/FY%202012%20Summary%20of%20Performance%20and%20Financial%20Information.pdf.pdf.

SBA has linked performance goals to key stakeholders, private sector, other agencies, and internal operations through strategic goals being set with positive outcomes and achievements. The SBA Strategic Plan 2011-2016, Strategic Objective 1.4, "Ensure that SBA's disaster assistance resources for businesses, non-profit organizations, homeowners, and renters can be deployed quickly, effectively and efficiently in order to preserve jobs and help return small businesses to operation." SBA's Summary of Performance and Financial Information FY 2012 shows that the Strategic Objective 1.4 for Disaster Assistance was met. There are significant percentage increases shown within the Actuals for each of the Fiscal Years. The FY2013 Summary of Performance and Financial report should be available in early 2014.

Social Security Administration

The SSA IT program develops and tracks progress towards agency and IT investment-specific performance goals as part of its annual budget process and ongoing management and oversight processes for major IT investments and smaller-scale projects as appropriate. Business cases for each investment are tied to agency mission statements, long-term goals and objectives, and annual performance plans. Performance measures are a required element of the business case for each of the agency's major IT programs. Each investment must contain results specific metrics to measure the effectiveness of the investment in delivering the desired service or support level. These metrics support the business case justification and provide the foundation of a quantitative approach to defining benefits in a cost-benefit analysis. Investments must also contain activities and technology specific metrics to measure the program against its defined process standards or technical service level agreements.

IT performance goals for major investments include programmatic impact, customer service, and technical goals for operational IT systems, developed by investment program managers in concert with business sponsors and other members of the investment's established integrated program team. At the conclusion of the development life-cycle of selected major IT investments, a Post Implementation Review (PIR) is conducted to evaluate areas including:

- How the IT investment aligns with the agency's mission;
- Performance expectations and actual outcomes; and,
- Contributions of the project toward achieving both the Agency Strategic Plan and the performance measures in the Annual Performance Plan

With operations and maintenance activities at times consuming the majority of the total life-cycle costs of a program, it is critical to monitor the effectiveness and productivity of those investments. Collecting and analyzing performance data is essential to ensuring that programs continue to deliver value to the organization and the public. Performance metrics are an important element of Operational Analysis, the continued measurement of a program's strategic and business results. Agency management, OMB and the *Federal IT Dashboard* receive performance goals reports on a monthly, quarterly, or semi-annual schedule. An investment's performance against established goals is a key consideration in both CPIC processes and steady state system operational analysis.

APPENDIX D: ACCESSIBILITY

In accordance with Section 202(d) of the E-Gov Act, this appendix provides URL's agency websites describing actions taken by agencies in accordance with Section 508 of the Rehabilitation Act of 1973, as amended by the *Workforce Investment Act of 1998* (P.L. 105-220).

Agency	Agency URL(s)
U.S. Department of Agriculture	www.ocio.usda.gov/policy-directives-records-forms/section-508
U.S. Department of Commerce	www.ocio.os.doc.gov/ITPolicyandPrograms/IT_Accessibility/index.htm
U.S. Department of Defense	www.dodcio.defense.gov/DoDSection508.aspx www.dodcio.defense.gov/DoDSection508/Std_Stmt.aspx
U.S. Department of Education	www2.ed.gov/web-guidance/accessibility-requirements.html www2.ed.gov/web-guidance/technical-standards-implementing-section-508.html
U.S. Department of Energy	www.energy.gov/cio/department-energy-doe-and-section-508
U.S. Department of Health and Human Services	www.hhs.gov/web/508/index.html www.hhs.gov/ocio/policy/508_policy.html www.hhs.gov/web/508/Standards/index.html
U.S. Department of Homeland Security	www.dhs.gov/accessibility
U.S. Department of Housing and Urban Development	www.hud.gov/offices/cio/sdm/devlife/def/trm/assistivetech.cfm
U.S. Department of the Interior	www.doi.gov/ocio/information_management/section-508.cfm
U.S. Department of Justice	www.justice.gov/accessibility/accessibility_info.htm
U.S. Department of Labor	www.dol.gov/oasam/ocio/ocio-508.htm www.dol.gov/oasam/regs/statutes/sec508.htm www.dol.gov/oasam/foia/dlms-chapters/dlms9-0600.htm
U.S. Department of State	www.state.gov/accessibility/

U.S. Department of Transportation	www.dot.gov/drc/section-508 www.fta.dot.gov/about/13056.html www.faa.gov/about/office_org/headquarters_offices/aio/programs/ites/sec_508 www.fra.dot.gov/Page/P0165 www.marad.dot.gov/about_us_landing_page/accessibility_certification/accessibility_certification.htm www.nhi.fhwa.dot.gov/resources/section508.aspx www.nhtsa.gov/About/Accessibility www.phmsa.dot.gov/about/accessibility
U.S. Department of the Treasury	www.treasury.gov/about/role-of-treasury/orders-directives/Pages/td87-06.aspx
U.S. Department of Veterans Affairs	www.section508.va.gov
U.S. Agency for International Development	www.usaid.gov/sites/default/files/documents/1868/508.pdf
Environmental Protection Agency	www.epa.gov/epahome/accessibility.htm
General Services Administration	www.gsa.gov/portal/content/105254 www.section508.gov/
National Aeronautics and Space Administration	www.nasa.gov/accessibility/section508/sec508_overview.html
National Archives and Records Administration	www.archives.gov/global-pages/accessibility.html
National Science Foundation	www.nsf.gov/policies/access.jsp
Nuclear Regulatory Commission	www.nrc.gov/site-help/access.html
Office of the Director of National Intelligence	www.dni.gov
Office of Personnel	www.opm.gov/html/access.asp

Management

Small Business Administration www.sba.gov/about-sba-info/accessibility

Social Security Administration www.socialsecurity.gov/accessibility/508_overview.html

*This is government-wide website managed by GSA.

APPENDIX E: GOVERNMENT-PUBLIC COLLABORATION

In accordance with Section 202(e) of the E-Gov Act, this appendix describes how agencies utilize technology to initiate government-public collaboration in the development and implementation of policies and programs.

Department of Agriculture

USDA continually supports the Digital Government Strategy through customer engagement, collaboration and evaluating analytics or social media feedback. In order to prioritize high-value customer services and systems, USDA sought feedback directly from the public via the USDA blog, social media channels, and through traditional contacts in the field. Nearly 30 comments to the blog, and additional feedback received through other social media channels helped the department prioritize candidates for developing mobile-optimized tools or services, and helped USDA make data or systems available as APIs. High-value deliverables are showcased on the USDA Developer page, including the Farmers Market Directory API, as well as the mobile-optimized USDA Service Center locator. USDA also established an issues and feedback tracking forum on the department's official USDA GitHub account to communicate directly with data users and developers.

Department of Commerce

In June 2013, the U.S. Census Bureau joined other Federal agencies and nonprofit organizations to issue a challenge to participants in the "National Day of Civic Hacking." The Census Bureau issued "The Census American Community Challenge," which asked developers to use publicly available American Community Survey statistics in the agency's open API to develop an application that helps communities either with economic development or with disaster planning. The National Civic Day of Hacking brought together citizens, software developers and entrepreneurs from across the nation to collaboratively create, build, and invent solutions using publicly released data, code and technology to solve challenges relevant to neighborhoods, cities, states and the nation. More than 11,000 people across the country participated in the National Day of Civic Hacking, with many of them using the rich array of local statistics from the Census Bureau's American Community Survey to develop new online apps. Census Bureau staff participated in 31 events throughout the country to help developers use American Community Survey statistics to build new apps.

The Census Bureau's API and participation in this national event opened up Census Bureau statistics beyond traditional uses, giving developers in research, business and government the means to customize the statistics into applications that their audiences and customers need. During the event, software developers and entrepreneurs from across the country collaborated to invent and build solutions using publicly released data, code and technology to solve challenges relevant to communities. One app developed at the event creates heat maps that show American Community Survey statistics at the county level across the United States. More examples can be found on the Census Bureau's Developer's Forum in the Application Showcase. This forum is used to provide support, get feedback and collaborate with developers on prioritizing new features in the API. The API is in line with the goals of the Digital Government Strategy to create "open data" to allow the public to access government data and to make information more transparent and customer-centered.

Department of Defense

The Federal eRulemaking initiative facilitates public participation in the Federal regulatory process by improving the public's ability to find, view, understand, and comment on federal regulatory actions and rulemaking materials. E-rulemaking has enabled DOD to harness the power of advanced digital

technologies to make its rulemaking process more manageable, as well as expand and enhance the public's involvement in its rulemaking process. Through the use of information technology, DOD has increased the public's understanding of rulemaking, improved policy decisions by making it easier for regulatory officials to analyze large volumes of data drawn from multiple sources, reduced the cost of resources, and increased regulatory compliance by increasing the public's understanding of what regulations require. Additionally, in FY 2013 DOD harnessed the capabilities of the FDMS and www.Regulations.gov to pre-test public facing forms requiring approval by OMB in accordance with the Paperwork Reduction Act. This allowed the public to view, download, test the forms, and provide comments to DOD using the electronic docket. As a result, DOD produced better quality forms with plain language instructions, and reduced the time and cost to components to pre-test their forms through other means.

Department of Education

More than 150 American entrepreneurs, software developers, education experts, and policy makers came together Oct. 9, 2012, for an Education Datapalooza at the White House. The gathering was a chance to celebrate new products, services, and apps built with freely available data from the government and other sources that have the potential to help American students succeed, and empower students and their families to make informed educational decisions. Examples of achievements include:

- Over 78 million people are now able to download their own Federal student loan and grant data from the Department of Education via the National Student Loan Data System for Students;
- On the K-12 level, pioneering school districts and states are committing to give students the ability to access and download their own academic data;
- A new state-led effort will make it easier to transfer academic information digitally and securely when moving between schools, an especially valuable service for children of active military and foster children; and
- A new collaboration between ED and higher education institutions to work on a data standard for postsecondary course catalogs, degree requirements, and related information.

ED also held two data jams held at the Massachusetts Institute of Technology and Stanford University in the fall of 2013. The data jams focused on data related to postsecondary education. The goal of the ED data jams and Datapalooza is to spark interest and collaboration among entrepreneurs and developers in creating apps and other digital tools to facilitate easier access to higher education information for prospective and current college students. These efforts build upon the MyData Initiative, a collaboration between ED and software developers to help students securely export or download their own educational data in open, machine-readable, human-readable formats, on any system. Open data standards can also solve problems inherent in the antiquated paper-based student record system. For example, many teachers and principals across the country deal with new students who arrive in classrooms with virtually no paper trail, forcing educators to make important decisions without student records, data, or points of reference. Student information systems that can import and export student academic records in the same standardized format make it easier for schools to transfer information internally and with other schools.

Department of Energy

DOE uses a number of online tools to directly collaborate with the public. Not only does the

department have a documented customer engagement approach consistent with the Federal Digital Strategy, DOE also uses social media, email lists, and the Energy.gov website to communicate with the public. In April 2012, DOE challenged the American developer community to build apps that help utility customers make the most of Green Button electricity usage data. DOE continues to build upon this success and the department is currently preparing a new Apps for Energy challenge that launched in November 2013. Additionally, DOE continued to engage with the data and developers community through a series of data jams and other events.

Department of Health and Human Services

The work of the National Library of Medicine has transformed access to biomedical information for researchers, practitioners, and patients. HHS has used the Health Data Initiative to make more data from HHS easily available and accessible to the public and to innovators across the country. This includes clinical care provider quality information, nationwide health service provider directories, databases of the latest medical and scientific knowledge, consumer product data, community health performance information, government spending data and much more. Both www.HealthData.gov and www.Healthindicators.gov are examples of technology solutions to the Health Data Initiative. The growing momentum of the Health Data Initiative was recently highlighted at a Health Data Initiative Forum (a.k.a. "Health Datapalooza") hosted in June 2013 by the Institute of Medicine and HHS. This forum showcased 50 of the best products and services developed by companies that have harnessed HHS data to help consumers get the information they need, help doctors deliver better care, help employers promote health and wellness, help local policymakers make better-informed decisions and much more.

Department of Homeland Security

The DHS Office of Public Affairs (OPA) initiated the use of Idea scale, a web-based dialogue tool that enables the department to directly engage with the public on a range of issues and policies. Idea scale creates participatory, self-moderated communities and allows agencies to interact directly with the community that is formed around an idea. Agency representatives can leave comments and communicate the status of an idea while building strong relationships with citizens by confirming that their voices are heard. Idea scale is available for headquarters offices, directorates, and operational components for separate dialogues and stand-alone iterations of the tool, with prior approval from OPA. Some recent Idea scale dialogues include:

1. Federal Emergency Management Agency (FEMA) Employee Collaboration Community
2. FEMA
3. E-Verify Listens
4. DHS Office of Emergency Communications
5. Beta review of www.DHS.gov

Department of Housing and Urban Development

In March 2013, HUD unveiled the first housing discrimination mobile app. Developed by HUD's Office of Fair Housing and Equal Opportunity (FHEO) and HP, the app uses the latest technology to provide the public with a quick and easy way to learn about their housing rights and file housing discrimination complaints, and inform the housing industry about its responsibilities under the Fair Housing Act. The app will also be an important tool to assist fair housing groups and other civil rights advocacy organizations in their efforts to help individuals pursue their housing rights and industry to educate their members on their responsibilities. Several groups indicated their intent to promote the app with their members and in communities where they work, including MomsRising, Illinois Department of

Human Rights, Access Living, League of United Latin American Citizens, Asian Real Estate Association of America, National Association of Hispanic Real Estate Professionals, National Association of Real Estate Brokers, and the National Center for Lesbian Rights. In addition to facilitating real-time delivery of housing discrimination complaints, the app can be used by individuals researching their housing rights after a natural disaster, when power outages make mobile devices one of the few ways to access the internet. The app also provides information about the fair housing complaint process, and allows the public to access HUD's toll-free discrimination hotline and link to HUD's fair housing website.

Department of the Interior

The U.S. Geological Survey (USGS) is incorporating data obtained from volunteers to update information about the location and names of common buildings such as police stations, fire stations, schools, and hospitals. This information becomes part of *The National Map* once it has undergone appropriate quality assurance. The National Map is a set of national databases that contain basic map information for the United States. The USGS typically maintains information in The National Map through partnerships with other governmental agencies and contracts with private sector firms. While the USGS has had a volunteer program in the past to maintain map information, technological advancements have made it much more feasible for the public to provide accurate locational information and for the USGS to incorporate information into The National Map. As of November 1, 2013, over 1,000 volunteers have joined the project, and over 18,000 edits have been made to the data in The National Map. The USGS is working with national volunteer organizations to recruit additional volunteers. A set of virtual badges have also been established to reward volunteers for providing a specified number of edits. More information about the volunteer program can be found at: www.nationalmap.gov/TheNationalMapCorps/index.html.

Department of Justice

DOJ continued to expand mechanisms for improving engagement with the public for participation in policy and program development and implementation. In support of the department's implementation of the Federal Digital Strategy, DOJ has actively solicited public comment in two areas of Digital Strategy implementation:

1. What Justice Department information would members of the public like to be able to access on mobile devices?
2. What Justice Department information, data, or applications would you like to us make available via APIs?

As part of the milestones for implementing the Open Data Policy, DOJ published multiple datasets which are accessible through an open API, and significantly expanded the number of datasets published to the public and accessible via Data.gov and through the department's Open Data website at www.justice.gov/data. A key aspect of this expanded effort at public release of datasets is participation by the public in identifying department information of interest, which is solicited via the department's Open Government mailbox at opengov@usdoj.gov.

Department of Labor

In 2012, DOL issued a series of open data-fueled competitions focused on equal pay, worker protection, disability employment and young workers. Each contest was listed on www.Challenge.gov, leveraged DOL data listed on www.Data.gov and APIs, software development kits (SDK's), and same

code hosted on developer.dol.gov. Each competition received national attention and praise, resulting in the development of over 100 quality applications by the general public. These public challenges demonstrate DOL's leadership in liberating government data and making it publicly accessible and easy-to-use via agile apps. These collaborative government and public efforts are a great example of the value that can be achieved by making DOL agency program data available to and usable by the public.

Additionally, in 2011, the DOL Office of Public Affairs (OPA) implemented a public-facing developer web page to support the development and use of publically available DOL data. Since that time DOL has published 34 open datasets, representing 201 data tables of DOL agency information, to its public developer website. As part of its vision to implement this vast amount of publicly-available data efficiently and effectively, DOL OPA took an innovative approach and implemented a centralized public API based portal to its developer web page. This public API portal acts as a centralized communications and access point for all of DOL's public data which allows user access to all of the datasets. In addition to the open datasets, DOL supports public application developers with SDK's to make access to DOL data as easy as possible. DOL has lowered the barrier to entry for developers by publishing SDKs for six common platforms: iOS, .Net, Android, Ruby, Blackberry and PHP. DOL has published the SDKs to www.GITHUB.com for developers to download and utilize in creating innovative mobile and/or web applications.

Department of State

State completed an extensive revision of the FOIA website intended to make already-public information easier to find and requests for documents not yet public easier to file. The site offers a more intuitive design with improved information and guidance for requesters, and enhanced, robust search capabilities and search tips for finding information already available to the public. The redesigned website takes the user through the FOIA request process step-by-step, decreasing the likelihood of filing invalid or incomplete requests for State records. The new website is designed to encourage users to learn about State and the FOIA process, search for documents already in the public domain, and submit a request for documents if they are not already available. The new full-text search tool has an interactive results hit list that offers the user the ability to view, sort, and refine search results, as well as conduct additional searches for all documents associated with a particular FOIA case number. Specific instructions are provided to assist customers in framing search queries for the best results from searching more than 84,000 public documents. The redesign of the FOIA website is part of State's overall approach to dramatically increase transparency and openness by posting as much information as possible, in as timely a manner as possible. A re-examination of guiding principles for posting new material as well as new developments in the department's case processing system advanced efforts to implement a technology-based streamlined process for web posting. This new approach has allowed the department to post more documents online than in any previous fiscal year.

Department of Transportation

DOT has leveraged the IdeaScale platform to gather public and expert feedback early in the policy development lifecycle. DOT launched a series of online dialogues in support of policy development after its most recent reauthorizing legislation, Moving Ahead for Progress in the 21st Century (MAP-21). During FY 2013, DOT operated dialogues on transit asset management, grants for ferry programs, and transit provider representation in Metropolitan Planning Organizations. In addition, DOT continues to use IdeaScale to support strategic planning activities, operating a dialogue on the Intelligent Transportation Systems Strategic Plan and meeting the Government Performance and Results Act Modernization Act requirements for public consultation on its updated strategic plan. Finally, DOT led an online dialogue in support of the interagency Committee on the Marine Transportation System

eNavigation plan. These dialogues have reached over 8,500 unique visitors, signed up over 2,000 users, with over 1,000 of those users participating by submitting ideas, commenting on ideas, or voting on one another's ideas.

Department of the Treasury

Treasury has established a cross-departmental, data focused working group known as Digital Government Innovation at Treasury (DiGIT) for coordinating efforts across the department. DiGIT is tasked with coordinating "Open-Data" oriented efforts across Treasury while also supporting critical elements of Treasury's mission. The goals for this working group are to create and maintain an Enterprise Data Inventory; promote the release of data in machine readable format; create a process to engage with Treasury customers to help prioritize and sequence the release of Treasury data; and encourage the development of applications for mobile devices. In addition, IRS has created a free mobile app, IRS2Go, in English and Spanish that provides access to tax tips, news, and the relevant tools to help taxpayers navigate tax related information and key IRS services. The Bureau of Engraving and Printing has created EyeNote, a free mobile app that identifies denominations of US currency as an aid for the blind or visually impaired. This application works with or without network connectivity or equipment modification, and the spoken output can be in English or Spanish.

Department of Veterans Affairs

The Advisory Committee Management Office advisory committees are used extensively by the VA to provide advice and guidance on a wide variety of programs that deliver benefits and services to veterans. 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 the VA to assess specific policies or programs. Advisory committee members are generally acknowledged, by VA's leadership and members of Congress, as "consumer representatives" of 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), and meetings at VA are generally open to the public. One of VA's principal objectives in managing its advisory committees is to ensure that committee members appropriately reflect the diversity of American society and the veterans' population. Committee members are expected to have the technical, scientific and programmatic expertise demanded by the committees' areas of interest and emphasis. Committee members are also expected to offer unbiased advice and to comply with all federal ethics standards.

U.S. Agency for International Development

USAID's Mobile Solutions (MS) team leverages the capabilities and reach of mobile technology to accelerate USAID's development goals through collaborations and initiatives that benefit the public. A key MS team engagement currently involves the development of a mobile phone based networked infrastructure in developing parts of the world. The effort is targeted at lowering the barrier to entry for the private sector and groups of potential entrepreneurs, while also creating a platform for new ideas, new business models, and new modes of communication and collaboration. This allows governments to harness the individual potential of people in parts of the world where technological gains have been exponential. In Africa for example, there were 49 million mobile phones in 2002, currently there are 700 million, and by 2016, there will be an estimated 1 billion mobile phones.

USAID's MS Team's Strategy acknowledges that while access to information is critical to improving agriculture and health outcomes, not everyone has access to a mobile phone or mobile

broadband. While access to finance can transform lives, the vast majority of mobile money platforms are stuck in a subscale reality. While the mobile phone can empower the disadvantaged (significantly reversing the relationship between people, governments and donors) development organizations and governments have not kept pace with the exponential speed of technology. The MS team aims to close these three gaps by catalyzing mobile money platforms, mobile access to handsets and broadband, and the use of data collected by mobile devices to improve decision-making. Three principles guide this strategy:

1. Design for Scale: Mobile Solutions catalyzes platforms and ecosystems and then lets local organizations take the lead.
2. Partner for Impact: Mobile Solutions partners with private sector organizations to deepen its impact and extend its reach.
3. Fail Forward: Mobile Solutions intends to learn from any mistakes and facilitate best practices across USAID.

The MS team identifies and addresses existing barriers to mobile adoption that underpin the Agency's (and beneficiaries') ability to maximize mobile technologies to meet development needs. Its efforts include:

- Building the forthcoming Alliance for Affordable Internet, which brings together the public and private sectors to create a policy and regulatory environment to help lower the costs of mobile broadband for many developing countries;
- Partnering with private companies to reduce the mobile phone gender gap, enabling mobile ownership and more effective use by and for women in emerging markets;
- Initiating dialogue with organizations engaged in the Mobiles for Development sector and determining where public-private partnerships might address fundamental and persistent mobile access barriers; and,
- Developing a set of tools and research findings to help USAID Missions incorporate mobile access into existing activities or other work that can be amplified by mobile phones.

The MS team also catalyzes mobile money platforms to accelerate financial inclusion, root out corruption, empower entrepreneurs, and unlock the private sector. Its efforts include the USAID Forward Initiative, which works with missions to develop distinct mobile money programs meant to target game-changing payment streams and integrate mobile money into their programs. Similarly, the USAID-Citi Mobile Money Accelerator Alliance works with Citigroup to jointly connect the mobile money ecosystem in five countries. Through the Better Than Cash Alliance, USAID connects a coalition of corporations, international development organizations, and governments who will commit to transition from cash to electronic payments, both for public-facing programs and internal operations.

The MS team accelerates the use of portable, electronic devices to collect information about the USAID-funded projects and sectors. The goal is to increase access to high quality, timely data, and capacity for evidence-based decision-making by USAID, its partners, and citizens with whom the agency works. Its efforts include:

- Working with missions like Afghanistan and Kenya to develop mobile data solutions for beneficiary feedback, monitoring, and evaluation that will inform project and program design;

- Building knowledge and technical capacity throughout the international development community and amongst citizens to utilize these solutions and the information they generate; and,
- Developing policies to create reusable, sustainable mobile-based information systems that can reach the poor.

Environmental Protection Agency

During the Apps for the Environment Challenge and the subsequent *My Green Apps website*, EPA utilized technology for government-public collaboration. EPA conducted the challenge to encourage developers to make environmental applications that use EPA data. Thirty-eight applications were submitted for the public to use free of charge. The website is a clearinghouse for environmental applications and ideas for potential new applications. EPA encouraged the public to provide input about environmental applications, ideas for potential applications, and environmental data. During the challenge, the public submitted over 100 ideas they would like to see converted into applications and EPA encouraged dialogue about these ideas. EPA then identified data that could be used to create these applications, organized the ideas into environmental categories, and posted this information on the My Green Apps website. After the challenge, the public was encouraged to “like” the ideas they preferred most. This provided developers with market research about what applications people would use. EPA created a discussion forum for the public, the Data and Developer Forum, to suggest existing applications to include on the My Green Apps website. EPA organized and displayed the suggested applications and described what EPA data were used in the development of the applications. Similarly, developers and other members of the public used the Forum to suggest environmental data they would like to use. EPA was able to easily direct the public to currently-available data and encourage data owners to make data public.

General Services Administration

The Office of General Supplies and Services’ uses *GSA Interact* to communicate with industry partners, and solicit feedback regarding the One Acquisition Solution for Integrated Services (OASIS) solution. This is an example of how GSA utilizes technology to initiate government-public collaboration in the development and implementation of policies and programs. The community’s parent site, www.Interact.gsa.gov, provides a social medium for:

- Creating threaded discussions with the GSA community;
- Learning about and participating in initiatives that contribute to the OASIS development process; and,
- Enhancing GSA Interact’s exposure beyond the federal government.

The OASIS Community on GSA Interact, to which the OASIS team has posted more than 100 blogs since its February 2011 launch, seeks to engage with Industry Partners to ensure transparency and collaboration throughout the solution’s development process. As of this month, the site has over 5,100 members. Through this community, the OASIS team has looked to gain sufficient input and feedback regarding the development of OASIS as the next generation vehicle-of-choice; in addition, the community also facilitates communication and information sharing among group members from a variety of professional areas who do not normally interact with one another. Throughout the development of OASIS, the team has utilized the Interact community to share OASIS-related presentations given at industry events, promote informational events conducted by GSA, and solicit white papers for one-on-one

meetings with Industry Partners. As a result of the team's focus on creating a transparent, collaborative community on Interact, the OASIS community has experienced an unprecedented amount of activity and interest. To date, we have received more than 400 questions regarding OASIS from Interact community participants. The work done by the OASIS team has served as a model through which GSA will continue to partner with our Federal Agency customers and Vendors so that we can deliver a more efficient and cost-effective acquisition solution that benefits government and the federal taxpayer.

National Aeronautics and Space Administration

The International Space Apps Challenge is a two-day hackathon where teams of technologists, scientists, designers, artists, educators, entrepreneurs, developers, and students collaborate across the globe, using publicly available data to design innovative solutions for global challenges in software development, citizen science, hardware, and data visualization. For the 2013 event, more than 9,000 global citizens in 44 countries and 83 cities engaged directly with NASA for the largest hackathon in history. In 83 total hours, they collectively developed 770 solutions -- software, hardware, and data visualizations. In addition, over 2,200 people participated virtually from less formal locations -- coffee shops, libraries, community centers, and their own homes. Both the virtual participants and the participants in physical locations found each other through matchmaking functionality around each of the challenges, forming teams that spanned the globe. 474 organizations joined NASA, including six international space agencies, 11 US embassies, and six US federal agencies, to offer data and resources to teams of humanitarian hackers and innovators. They worked on 57 challenges, submitting two or more solutions per challenge. The most popular challenges: asteroids and the International Space Station. Participants designed CubeSats for Mars; integrated wind, solar, and geothermal energy data trackers; as well as visualizations for air traffic control, satellite tracking, and solar electric propulsion. Sol, the first interplanetary weather app using actual Mars science data took one of the top global prizes.

National Archives and Records Administration

The Office of the Chief Records Officer continued to reach out to the public and offered opportunities for public collaboration in many different ways in FY 2013. The most significant opportunities occurred during the development of NARA bulletins. NARA bulletins provide fundamental guidance to Federal agencies, who must then determine the most appropriate ways to incorporate recordkeeping requirements into their business processes and identify the specific means by which their agencies will fulfill their records management responsibilities. NARA provided the public an opportunity to comment by publishing draft bulletins on NARA's Records Express blog and requesting comments. Comments were evaluated by the bulletin development teams for inclusion in the final published Bulletin. Two NARA bulletins went through the public review process in FY 2013: Guidance on a New Approach for Managing Email, and Guidance on Managing Social Media Records. These bulletins represent significant guidance to agencies in the management of electronic records and working with public input helped NARA develop the best guidance possible.

NARA also accepted comments from the public on a number of draft General Records Schedules. The team revising these schedules promulgated drafts via the Records Express blog to solicit comments on six draft schedules in FY 2013. NARA is committed to an ongoing process of reaching out to our government and public stakeholders as they continue their work on revising and updating these schedules. In addition, in September 2013 NARA hosted an industry day event, "The Managing Government Records Directive: A Grand Challenge for Industry," at the National Archives Building and broadcast the panel speakers via Ustream to reach as broad an audience as possible. The event provided the Federal information management community the chance to talk directly to vendors about what automated solutions are needed to meet the goals of the Managing Government Records Directive. The event

culminated with the announcement of a Request for Information, intended to gather information about relevant products and services for the Federal records management community. Dozens of responses were received and are available to Federal agencies.

National Science Foundation

NSF recognizes the value of collaboration between government and the public and encourages its use whenever possible. One recent example of NSF's successful collaboration with the public is NSF's hosting of a local event for the "National Day of Civic Hacking" in June 2013. NSF's goal for the event, in which over 40 participants competed in a mobile application-building contest, was to use information from publically available data to solve the Northern Virginia Challenge, a project that involves "mashing" data from various government agencies to provide insights about the success of NSF's mission. Impactful outcomes of the event included an iPad app that allows Arlington County firefighters to keep track of and monitor human resources responding to fire emergencies; a web application that allows users to find the addresses and websites of museums near them and a conceptual sketch of a mobile app that uses badges and discounts at local businesses to encourage and reward residents who use Capital Bikeshare resources. NSF plans to use the successful National Day of Civic Hacking event as a model for future collaboration with the IT and research communities.

Nuclear Regulatory Commission

As an independent regulatory agency that prides itself on openness, the NRC has a long-standing commitment to conduct our regulatory responsibilities in an open and transparent manner, consistent with the *NRC Approach to Open Government*. NRC believes this commitment is essential to keep the public and other stakeholders informed of, and involved in, their regulatory, licensing, and oversight activities. NRC considers public involvement to be a cornerstone of strong, fair regulation of the nuclear industry. For that reason, the NRC is committed to providing opportunities for the public to participate meaningfully in the Commission's decision-making process.

In October 2012, the NRC began to develop a policy statement on consulting with Native American Tribes. As a starting point, the NRC updated and disseminated the *Tribal Protocol Manual*. This document embodies the agency's commitment to acknowledge the sovereign rights of federally recognized Native American tribes in the development and implementation of agency policies and regulatory activities that have tribal implications. It also provides guidance on effective interaction between NRC staff and tribal governments, as well as background on the historic relationship between the Federal government and Native Americans.

To initiate government-public collaboration in the development and implementation of the Tribal Protocol Manual and the tribal consultation policy statement, the NRC used a variety of technologies, including their public website, social media, and www.Regulations.gov. NRC also solicited public input through a Federal Register notice, a news release, a Blog posting, Twitter, and RSS feeds. NRC also used www.Regulations.gov to provide access to related documents and comments received. In addition, NRC offered a variety of technological and traditional options for stakeholders to submit their comments and suggestions, including the NRC Blog, a web-based Contact Us form, traditional mail, email, phone, and fax. All of these options yielded valuable input that will ultimately strengthen the NRC's policies and programs in this important area. In addition, the wealth of responses demonstrated the willingness of our stakeholders to use technology to engage in government-public collaboration to optimize the development and implementation of agency policies and programs.

Office of the Director of National Intelligence

The Intelligence Advanced Research Projects Activity (IARPA) continues to utilize the FedBizOpps.gov portal as its primary vehicle to initiate collaboration with the public for research. During FY13, IARPA posted more than two dozen announcements on FedBizOpps.com for new program Broad Agency Announcements (BAA) and Requests for Information (RFI). More than 200 abstracts and proposals were received from Industry and Academia in response to the announcements, and more than 1000 people attended the resulting 23 public collaboration events IARPA hosted.

Office of Personnel Management

USAJOBS is governed by an executive-level board of interagency representatives. The Executive Steering Committee (ESC) reviews and prioritizes initiatives of the USAJOBS program by balancing government-wide, individual agency, and seeker benefits to ensure the continuous development and improvement of USAJOBS, with a focus on maintaining conservative costs. Agency needs and priorities are actively collected through Chief Human Capital Officer Council meetings and Human Resources Manager-level agency outreach. Agencies are invited to participate in initiative-specific Integrated Project Teams to communicate their needs and assist in developing functionality requirements, while seeker feedback is continuously collected and monitored through regular usability testing, help desk ticket trends and social media posts. An independent customer satisfaction analytics expert, ForeSee, provides additional in-depth seeker perspective information through surveys presented at www.USAJOBS.gov. ForeSee also reviews new site functionality to ensure the changes will meet seeker expectations prior to deployment. Together, these efforts contribute to USAJOBS providing seekers and agencies the most up-to-date technology and functionality efficiently and cost-effectively.

Small Business Administration

SBA is actively using technology to support government-public collaboration. Banks, savings and loans, credit unions, and other specialized lenders participate with SBA to provide small business loans. SBA hosts a website (www.sba.gov/for-lenders) which provides lenders with resources they need to issue SBA loans. SBA's Lender Portal allows lenders to view their own quarterly performance data, including their most current composite risk rating, the "Lender Risk Rating." The Risk Rating System is an internal tool to assist SBA in assessing the risk of each active Lender's and Certified Development Company's SBA loan operations and loan portfolio.

The Lender Portal data comes from the Office of Credit Risk Management Loan and Lender Monitoring System (L/LMS). L/LMS obtains data from the SBA's system of record, the Loan Accounting System (LAS), as well as the 504 Lender Analysis & Management Program (504 LAMP) database and the Partner Information Management System. L/LMS also receives third party credit quality and business data, including the Fair Isaac Small Business Predictive Solution credit scores. Lenders can also access data on peer group and portfolio averages. In addition to the Lender Portal technology, SBA coordinates many town hall meetings throughout the year. As an example, the National Small Business Week forum was open to the public. This forum provided free networking, educational sessions, and open dialogue for the public to give suggestions and recommendations to SBA. SBA forums encourage small business owners and entrepreneurs to attend and voice their opinions, ideas and concerns.

Social Security Administration

SSA used an online engagement tool called IdeaScale to hold their first engagement aimed at soliciting ideas to improve our disability policies for assessing individuals with multiple impairments. To ensure that SSA received relevant feedback, they limited the audience to internal and external disability partners. Participants posted ideas, shared comments on the ideas of others, and voted on posted ideas.

SSA is currently reviewing the ideas and comments submitted for use in development and refinement of disability policies. With the success of the approach, SSA is in the process of determining other disability policy topics for future engagements with a broader target audience.

APPENDIX F: CREDENTIALING

In accordance with Section 203 of the E-Gov Act, this section describes current activities agencies are undertaking to achieve interoperable implementation of electronic credential authentication⁹ for transactions within the Federal government and/or with the public.

Department of Agriculture

The USDA OCIO is participating in the Federal Cloud Credential Exchange (FCCX) pilot, which will provide a centralized interface between agencies and approved identity providers. The objectives of this initiative are to reduce costs and complexity, speed up integration timeline for new identity service providers, and decrease authentication costs to the Federal government through centrally negotiated rates. The OCIO is aggressively pursuing authentication technological solutions for mobile devices by using a derived credential from the LincPass card - USDA's HSPD-12 solution. Authenticating with a PIV derived credential solves many challenges such as forgotten, lost, broken, or damaged PIV cards, authenticating to mobile devices (e.g. smartphones, tablets) and Mac workstations. In support of interoperability within the federal government, OCIO is working with the Department of Interior - Interior Business Center (IBC) and the USDA-OCFO-National Finance Center (NFC) in pilots for ICAM-as-a-Service, which includes authenticating non-USDA issued PIV credentials to IBC and NFC customers, resulting in increased operational efficiencies and interoperability. This effort also supports the shared services strategy identified in the 25-Point Implementation Plan to Reform Federal IT. The OCIO also sponsors a Digital Signature Working Group (DSWG) with representatives over 13 agencies. The working group is focused on sharing knowledge and experience between agencies and identifying standard processes, procedures, and technologies that can be shared by agencies. The DSWG co-chairs are working to reorganize the structure of this group to improve participation and more quickly achieve deliverables.

Department of Commerce

The highly-federated nature of the DOC poses significant technical and organizational challenges to the successful implementation of any enterprise-wide initiative. Substantial progress in individual DOC components such as Census and NIST was made in FY 2013 with regards to HSPD-12 logical access. However, department-wide adoption of HSPD-12 PIV cards for logical access and digital signatures remains elusive. At the request of the DOC Office of Cybersecurity, an independent study of DOC's HSPD-12 logical access control capabilities was conducted in September 2013. The independent study found three high-level gaps: 1) need for policy guidance, 2) need for technical implementation maturity; and 3) need for communication and training. DOC is in the process of securing funding from departmental management funds to address the gaps and implement the recommendations of the study.

Department of Defense

DOD has a long history of supporting the use of externally issued, or Non-Federally Issued (NFI), identity credentials. As early as 2004, DOD established procedures to approve non-DOD issued Public Key Infrastructure (PKI) credentials for use in DOD. These procedures have been maintained and still exist today. They have been used to evaluate and approve Personal Identify Verification (PIV), PIV-Interoperable (PIV-I), other commercial, and even foreign military PKI credentials. Additionally, on January 24, 2013 the DOD CIO signed the "Department of Defense Requirements for Accepting Non-Federally Issued Identity Credentials," memorandum promulgating guidance on acceptance and use of NFI credentials. This memorandum requires DOD components to enable their information systems to accept approved NFI credentials for authenticating PIV-ineligible personnel. Attached to the memorandum is an executive summary titled "Executive Summary - Adoption and Use of Identity

Credentials from Non-Federal Issuers," outlining the process for DOD adoption and use of identity credentials.

Department of Education

In FY 2013, ED began a project to implement an enterprise single sign on (eSSO) solution which will allow PIV card holders to log on to department systems. The department successfully completed the implementation for two systems in a test environment, and initiated the transition to production for these systems with the objective of completing the production deployments in FY 2014. To assist system owners in leveraging the eSSO solution, ED drafted an Implementation Guide which details the criteria and requirements that system owners must meet in order to leverage the eSSO solution. The work completed in FY 2013 also allowed ED to determine costs to system owners for implementation and maintenance of the eSSO solution. The department also successfully implemented required infrastructure changes to enable ED's transition from PIV cards with secure hash algorithm 1 (SHA-1) certificates to PIV cards with stronger SHA-2 certificates.

Department of Energy

DOE 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.

Department of Health and Human Services

HHS has issued 117,340 PIV cards to employees and contractors out of the total eligible population of 121,940. Currently, 70% of staff are required to use their PIV card to login to HHS networks or gain access to the network remotely. HHS has also implemented a Restricted Local Access (RLA) card that is interoperable with the PIV card for foreign nationals who do not qualify to receive a PIV card. HHS implemented an Alternate Logon Token (ALT) that is interoperable with the PIV card but is used exclusively for logical access for staff that require multiple Active Directory accounts such as systems administrators. HHS has begun requiring the use of strong authentication for staff with elevated rights using the ALT card. HHS is now able to bind a PIV card issued by other agencies to an HHS identity, achieving cross agency interoperability which enables access to HHS physical facilities and IT resources. The HHS Access Management System (AMS) has implemented PIV login for users to access HHS Enterprise applications. HHS has integrated 28 enterprise applications and two external applications with AMS Simplified Sign-On or direct PIV login. HHS is working with other applications to allow integration to the HHS AMS Single Sign-On system.

Department of Homeland Security

DHS made significant progress in meeting the cross-agency priority cybersecurity goal for strong authentication. To date, 32% of DHS employees and contractors are required to use their HSPD-12 smartcards for logical access to the unclassified network. In addition, 50% of users are able to use their smartcard for network login which stages them for mandatory use in FY 2014. Three DHS components are more than 75% compliant and are benefiting from fewer password resets and enhanced security as a result. DHS has a parallel smartcard effort underway on its classified networks and is leading the way in the implementation of the Defense Information Systems Agency PKI shared service. DHS is also addressing the mobile and privileged identity management challenges associated with HSPD-12 and is

actively engaged in proof-of-concept pilots in-line with emerging NIST standards.

DHS is also engaging with its many partners to enable interoperable, federated trust to access shared services, and is also a member of the National Identity Exchange Federation (NIEF), a law enforcement-focused trust framework for information sharing. The Homeland Security Information Network is the DHS gateway to NIEF. DHS also participated in the National Strategy for Trusted Identities in Cyberspace sponsored pilot to assess the efficacy of the Attribute Based Access Control with an Attribute Exchange Network. The use of PIV certificates for digital signatures is on the rise with the continued implementation of HSPD-12. DHS users are enjoying the efficiencies and cost avoidance gained by replacing manual signing processes. The process of digitally signing email is also expanding as policy for use matures. Two department-wide efforts sponsored by the DHS OCIO and department's Efficiency Review Team are driving to institutionalize the use of digital signatures. DHS is leveraging the "Use of Electronic Signatures in Federal Organization Transaction" document published by GSA and the Federal CIO Council, and is working toward policies, best practices and guidance to fully realize the benefits of digital and electronic signatures.

Department of Housing and Urban Development

HUD continues to make progress on the use of the HSPD-12 card for authentication to information technology assets. HUD has issued PIV credentials to 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 authentication 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. In addition, HUD has implemented a remote access solution that utilizes the HSPD-12 credential for remote access from HUD devices. HUD has also implemented HSPD-12 authentication on all multifunctional devices to support scan to email and scan to network share functionality. A proof of concept was just completed for mandatory HSPD-12 card usage that also included the usage of the HSPD-12 card for privileged accounts. HUD is moving forward with the mandatory use of the HSPD-12 card for privileged accounts based on the success of the proof of concept. HUD has the infrastructure to support digital signing of documents and some program areas have implemented digital signing.

Department of the Interior

In FY 2013, DOI completed a department-wide move to a cloud-based email system, which relies extensively on the authentication, authorization, and federation services components which DOI deployed in FY 2012 as a DOI-managed, federally controlled external directory service. This external directory service continues to provide both authentication and authorization services to external partners and collaborators who use DOI's on-premise collaboration systems. Continuing its expansion of cloud hosting and cloud services, in late FY 2013 DOI successfully awarded a major Cloud Hosting contract that it views as foundational to establish the core capability DOI will use to accept externally issued credentials. Other DOI activities in FY 2013 activities focused strategic acquisition planning to support the move of DOI websites from on premise hosting services to cloud-based services, and continued analysis of DOI's Level 1 and Level 2 web systems that allow or require the public and our partners to register for or log on to obtain access to DOI information.

Department of Justice

In FY 2013, DOJ continued making progress expanding the use of “identify federation” and “claims-based” authentication technologies within the department. These technologies support a single sign-on (SSO) user experience for department users as well as provide a pathway for PIV Card application authentication compliance. These same technologies will also allow the department to interoperate with external identity providers such as Equifax, PayPal, Google, etc. This interoperability will provide a means to accept third party identity credentials issued by such providers for DOJ externally facing systems which allow members of the public and business partners to register or log on. During FY 2013, DOJ extended the coverage of the federation service to approximately 35% of the DOJ user population. In addition, DOJ has piloted with SSA users to be able to access a DOJ sample application demonstrating single sign-on capability between the two agencies. This proof of concept will be extended in FY 2014 allowing SSA users single sign-on access to the DOJ-hosted CSAM application leveraging their SSA credential. For FY 2014, DOJ will continue to expand the DOJ user population covered under its federation service to 100%, and work with internal and external application providers to trust DOJ’s federation tokens. In addition, DOJ will continue to work with DOJ applications that qualify under the federal requirement for accepting externally-issued identity credentials to leverage the established DOJ federation services in meeting their authentication requirements.

Department of Labor

DOL is currently pursuing the implementation of an enterprise-wide Identity Life Cycle Management Program consisting of Identity Creation and Management, User Authentication and Access Management. This effort will provide full lifecycle management of identities/credentials for DOL employees and contractors and support identity management and security services within the department. This includes electronic credentialing and authentication services in compliance with recommendations and guidance from the Federal CIO Council and DHS. In 2011, DOL began expanding PIV-II usage via the Identity Management (IdM) project by designing and developing a framework of people, processes, and technologies intended to standardize and enhance DOL’s capability of managing identity data across multiple systems. This has a short-term goal of simplifying the log-in process leveraging existing credentials and a long-term goal of implementing a full-scope Identity Life Cycle Management solution interoperable with other enterprise-wide solutions. The IdM project is in the development stage with simplified log-in processes utilizing technology already in use by some of DOL’s enterprise-wide solutions. DOL will continue to introduce more advanced consolidation and integration appliances throughout 2014 while establishing the full-scope Identity Life Cycle Management framework.

Department of State

State’s Public Key Infrastructure (PKI) program provides employees and contractors electronic credentials that are interoperable with other Federal agencies as well as with the public. Each employee and contractor is issued a smartcard. Logical access to the department’s Sensitive But Unclassified (SBU) network is provided through the use of credentials that are stored on the card. In addition to user authentication, employees and contractors can digitally sign and encrypt/decrypt e-forms, documents in varying file formats, and e-mails. The PKI program also provides code signing services for executable files, macros and scripts to authenticate the author and to ensure codes are not altered or corrupted. Certificates are issued Non-Person Entities (NPE) such as internal web servers, domain controllers, and VPN concentrators. Interoperability with external entities is achieved through cross-certification of the department’s Root Certificate Authority (CA) with the Federal Bridge CA (FBCA). The FBCA acts as the trust anchor between State’s Root CA and the external entities. It is through this infrastructure that State can achieve cross-organizational authentication with other federal and state agencies as well as with external business partners. The department is in the process of

implementing new hardware and software that will enforce compliance with new NIST standards.

Department of Transportation

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 PIV cards and authenticating external users with PIV-interoperable (PIV-i) credentials and by utilizing the 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 the Microsoft Office Suite and Adobe products.

Department of the Treasury

The Treasury Enterprise Identity, Credential, and Access Management (TEICAM) investment program provides a consolidated view of Treasury's identity management activities across the department. TEICAM provides a standard for secure and reliable forms of identification and facilitate secure and timely access to information systems and facilities. The current environment consists of multiple systems operating in silos and data stores with minimal communication amongst the distributed stacks. Treasury has recognized the challenges and risks associated with this type of environment and developed a phased approach to implementing Federal Identity, Credential, and Access Management (FICAM) by 2015. Goals include:

- Sustaining card issuance rate above 90%;
- PIV Data Synchronization;
- Completing and deploying a federated Enterprise-Single Sign-On infrastructure and integrating Enterprise applications;
- PIV Enabled Local Network Access at 100% by FY 2015;
- PIV Enabled Remote Network Access at 100% by FY 2015; and
- Percentage of PIV card holders required to use the PIV card for local, remote and/or privileged network access at 100% by FY 2015.

These goals represent the optimal schedule in which bureaus can realistically achieve logical access control systems implementation. Treasury will maintain a federated architecture where bureaus locally manage physical and logical access control systems and privileges. The HSPD-12 PIV credential will be the primary identification and access control badge for all physical access control systems (PACS) and enterprise logical access control systems (LACS). Target completion dates for usage of PIV cards for both PACS and LACS in most bureaus will be no later than 2014. However, bureaus with more complex implementations (e.g. the IRS) will not complete their activities before FY 2017. Key benefits realized with the implementation of the TEICAM solutions include enhanced security; increased data accuracy; reduced costs; data flowing through a central connection trusted identity process; utilizing a single authoritative identity source for employees & contractors; enables LACS utilizing PIV credentials; eliminates redundant processes; improves efficiency & productivity through automated & streamlined PIV lifecycle processes.

Department of Veterans Affairs

The PIV program will enable the VA to meet the new security standards effectively and cost efficiently. The main function of the PIV card is to encrypt or code data to strengthen the security of employee and veterans' information, and physical access to secured areas, while using a common technical and administrative process. The PIV card encrypts data and verifies identity to ensure:

- Confidentiality - data can only be read by the card-holder.
- Integrity- Only the card-holder may change the data.
- Authenticity- There is a guarantee on the origin of the data.
- Non-repudiation- There is no possibility of falsified data.

With the PIV card, there is an increased reassurance that all electronic communications, data storage and data retrieval will be further secure and better protected. As of June 2013, a total of 333,325 PIV credentials had been issued to VA employees, 19,351 to contractors, and 57,713 to other individuals. Additional information about the VA PIV project may be found at: www.va.gov/pivproject/.

U.S. Agency for International Development

HSPD-12 PIV cards have been implemented for logical and physical access into USAID networks and facilities. USAID's cards are provided by the Department of State. State, with OMB approval, has excluded our overseas staff for PIV but a solution is in progress for the ability to issue Facility Access Cards to our overseas staff. The CIO and Office of Security anticipate installation of cards and readers to the USAID staff located in USAID Headquarters in Washington, DC no later than the end of the second quarter of FY 2014. In addition, USAID has implemented control gates within the SDLC to ensure that new applications are PIV-enabled prior to deployment and that legacy systems are required to have the implementation included in their SDLC roadmap in accordance with OMB guidance.

Environmental Protection Agency

EPA has made strides in the identity access management arena in accordance with HSPD-12. Agency employees and contractors are able to log into their government furnished computers using their PIV card. This is possible through agency-wide development of the required LACS infrastructure. EPA's LACS infrastructure has three main components::

1. Software - Leverages existing software such as Active Directory. Holds the users account information (the user principal name which is tied to the user's workstation).
2. Hardware - All employees have the hardware required for PIV card usage for logical access. Agency employees have computers and/or laptops with PIV card readers.
3. Online certificate status protocol responders - Leverages certificate revocation list from the approved service provider, Operational Research Consultants. Operational Research Consultant's online certificate status protocol responders provide timely information regarding the revocation status of a certificate by utilizing the Active Directory provided path for PIV card certificate validation. The certificate revocation list provides a list of certificates that have been revoked, which ensures only valid EPA employees have access to the network.

In the future, online certificate status protocol infrastructure can be used to obtain certificates for

other federal employees and federation with identified applications where both entities have a trust relationship.

General Services Administration

GSA has used digital signatures with desktop applications and PIV card certifications since 2010. In FY 2013, GSA's Enterprise Architecture team conducted an analysis to determine the high level requirements and use cases for digital signature. As a result, it was concluded that two agency-wide services are needed for digital signature: ad-hoc and process automation. GSA has approved FY 2014 funding for analysis and development of a business case to determine the technical solution for the identified service areas to implement within GSA.

National Aeronautics and Space Administration

NASA has begun leveraging externally-issued credentials in an effort to minimize costs and user impacts associated with cross-organizational access to information. Recognizing the business need for identity federation and also the potential gaps in current policy/process, NASA's ICAM team recommended the implementation of a Pilot for Identity Federation using the External SharePoint 2010 environment as the target system. This effort allows collaboration capabilities between the NASA Ground Systems Development and Operations Program at Kennedy Space Center, the agency, and external partners. The pilot is essentially enabling two "new" credential types to access a NASA system - access using externally-issued PIV cards and using federated identity credentials. The cost-savings of implementing identity federation for external user access to NASA resources versus the current method of issuing each external user a NASA identity is significant when considering the overhead in issuing and managing credentials, performing audits, and issuing and supporting VPN's. For this reason and to meet the needs of organizations internal to NASA, this Pilot is cornerstone to the eventual implementation of NASA-wide identity federation service.

National Archives and Records Administration

NARA's Office of the Federal Register (OFR) accepts digitally signed documents for publication in the Federal Register from a wide range of agency customers. Agencies may use any Federal or private sector digital signature provider that operates in compliance with National Institute of Standards and Technology Digital Signature Standard FIPS 186-3. The OFR requires that Federal Register submissions be signed with a medium assurance level digital signature certificate, cross-certified by the Federal Bridge Certification Authority. Electronic original documents may be submitted as email attachments or via web portal, eliminating mailing, handling, and preservation of paper copies. OFR information technology staff work closely with the Federal PKI Policy Authority to develop new tools and processes that promote widespread adoption of digital signature applications. In FY 2013 the OFR developed a redesigned and more robust and user-friendly web portal for electronic document submission and management. The portal, which was in acceptance testing at the end of the fiscal year, facilitates the authentication and verification of both documents and users and provides new tools for both users and administrators to identify and correct problem submissions.

National Science Foundation

NSF's use of single sign-on credentials allows members of the research community to use one ID to log into all external NSF systems, including FastLane and www.Research.gov. In order to further increase interoperability for the research community, NSF joined the InCommon Federation to provide simpler and easier access to online services. Using InCommon technology developed under a NSF-

funded grant, researchers can use their university-issued user ID and password to login to www.Research.gov and access agency grants management services. NSF's integration with InCommon improves ease of access to NSF information and services by the public by improving the way institutions conduct business with NSF. Additionally, NSF has implemented "Open ID," which allows the public to use Gmail to log on to the www.Research.gov public-facing functions.

Nuclear Regulatory Commission

For FY 2013, the NRC developed a comprehensive implementation plan to address HSPD-12. This plan, entitled "NRC FICAM Transition Plan," addresses all facets of electronic credential authentication at the NRC, both within the Federal government and with the public. Specifically, with regard to credentialing, the NRC has primarily focused on issuing digital certificates based on PKI for both internal and external stakeholders for electronic credential authentication and other purposes. NRC employees and contractors have also been issued Shared Service Provider (SSP) PIV cards, as well as SSP Software certificates, which are fully compliant with all relevant standards and policies.

For external agency stakeholders who need to interact with the NRC's electronic authentication systems, most notably the Electronic Information Exchange and National Source Tracking System, the NRC has issued Federal Bridge Cross-Certified PKI credentials at various assurance levels, including Rudimentary (Level 1), Basic Assurance (Level 3), and Medium Hardware (Level 4). In FY 2013, the NRC also implemented a One-Time Password (OTP) solution to be used for electronic authentication at Level 3 and below. This OTP solution includes online enrollment, delivery of hardware OTP tokens to external stakeholders, and an option to download a smartphone OTP application in place of the hardware token. The new OTP solution is initially being used for authentication to the NRC's Web-Based Licensing System, to be followed by other agency applications. Also in FY 2013, the NRC developed a draft policy and guidance for the implementation of digital signature. The policy, entitled "Acceptability and Use of Electronic Signatures," will be submitted to the agency's policy adoption process. Meanwhile, the guidance is being used by program offices to begin converting the agency's paper processes to electronic processes using digital signature. For example, over the past two years, the NRC has been using digital signature and electronic submission for its Federal Register notices, through a special digital signature application developed by the GSA FICAM Team.

Office of the Director of National Intelligence

N/A

Office of Personnel Management

All applications within OPM's environment have been mapped to the level of authentication as defined in NIST 800-63. Most applications are either internal or have a level of authentication that is greater than the e-Gov initiative levels. OPM is actively pushing PIV card usage within the agency. OPM currently requires external users to use their PIV cards for access to OPM and OPM systems remotely. The agency's push for all internal users of computer resources to authenticate using PIV cards is in progress. OPM expects this project to be completed in 2014. The OCIO is also working to put in place technical controls that will facilitate the ability of the public to register their personal authentication measures with OPM public facing applications. Significant progress in this area was made during FY 2013.

Small Business Administration

The implementation of HSPD-12 will ensure that identification of government employees and contractors is reliable and secure. The establishment of the PIV credential as part of a broader enterprise solution enables common service capabilities in secure and reliable transactions. Further, it expedites SBA's ability to enable IT solutions that directly address business needs for disaster response, small business services such as electronic workflow services, and reduction in other existing investments for help desk operations and password management. E-Authentication falls within the scope of Identity and Access Management (IAM). This initiative expands e-Government by providing users access to online services that require authentication, using a solution that is secure and convenient for customers, resulting in an improvement in the taxpayer experience. The IAM initiative provides a robust, secure, centralized solution that automates the provisioning and de-provisioning of user identities, and manages each aspect of the identity lifecycle. By automating these services SBA integrates the independent management frameworks currently SBA applications. This initiative will provide a secure and operationally focused security services that utilize industry proven solutions and adhere to well defined industry and federal standards.

Social Security Administration

Interoperability programs are already in place within the agency. With prior registration in SSA's Physical Access Manager (PAM), PIV cards from third-party federal agencies are accepted by physical access control systems to grant access to select SSA facilities. SSA currently participates in several HSPD-12 compliant federations that allow SSA to utilize federal applications hosted on external domains. SSA has the capability to enable federation to SSA's web applications as needed. SSA began participating in PIV card authentication for OPM's Employee Express in November 2013, allowing SSA staff to log-in to the website with their PIV card instead of a password. SSA's policy requires that anyone requiring logical access to SSA internal network must be enrolled for an SSA PIV card (reciprocity applies for employees of other federal agencies). SSA is currently evaluating solutions to allow direct authentication of third-party PIV and PIV-I cards for access to SSA. Select SSA employees and contractors have the capability to encrypt and/or digitally sign email and documents with their PIV card for exchange with the other federal agencies and the public. In addition, SSA employees and contractors have the capability to receive encrypted and digitally signed email from other federal agencies.

APPENDIX G: INTERNET-BASED GOVERNMENT SERVICES

In accordance with Section 204 of the E-Gov Act, www.USA.gov serves as an integrated internet-based system for providing the public with access to government information and services. In accordance with 207(f)(3), this appendix provides URL's for agency activities on www.USA.gov.

Agency	Agency URL(s)
U.S. Department of Agriculture	www.usa.gov/Agencies/Federal/Executive/Agriculture.shtml/Agriculture.shtml
U.S. Department of Commerce	www.usa.gov/directory/federal/department-of-commerce.shtml apps.usa.gov/americas-economy.shtml apps.usa.gov/national-weather-service.shtml apps.usa.gov/release-mako.shtml www.usa.gov/Citizen/Topics/Family-Community.shtml
U.S. Department of Defense	www.usa.gov/Agencies/Federal/Executive/Defense.shtml
U.S. Department of Education	www.usa.gov/directory/federal/department-of-education.shtml www.usa.gov/Citizen/Topics/Education-Training/Education.shtml
U.S. Department of Energy	www.usa.gov/directory/federal/department-of-energy.shtml
U.S. Department of Health and Human Services	www.usa.gov/Agencies/Federal/Executive/HHS.shtml
U.S. Department of Homeland Security	www.usa.gov/directory/federal/department-of-homeland-security.shtml
U.S. Department of Housing and Urban Development	www.usa.gov/directory/federal/department-of-housing-and-urban-development.shtml www.usa.gov/shopping/realestate/mortgages/mortgages.shtml
U.S. Department of the Interior	www.usa.gov/directory/federal/department-of-the-interior.shtml
U.S. Department of Justice	www.usa.gov/directory/federal/department-of-justice.shtml
U.S. Department of Labor	www.usa.gov/directory/federal/department-of-labor.shtml www.usa.gov/Citizen/Topics/Benefits.shtml#Jobs and Education Assistance www.usa.gov/Citizen/Topics/Education-Training.shtml
U.S. Department of State	www.usa.gov/directory/federal/department-of-state.shtml apps.usa.gov/smart-traveler.shtml apps.usa.gov/u-s-department-of-state-careers.shtml

	apps.usa.gov/state-department-mobile.shtml apps.usa.gov/find-your-embassy.shtml
U.S. Department of Transportation	www.usa.gov/directory/federal/department-of-transportation.shtml
U.S. Department of the Treasury	www.usa.gov/Agencies/Federal/Executive/Treasury.shtml www.usa.gov/Citizen/Topics/Money/Taxes.shtml www.usa.gov/shopping/byagency/byagency.shtml
U.S. Department of Veterans Affairs	www.usa.gov/directory/federal/department-of-veterans-affairs.shtml
U.S. Agency for International Development	www.usa.gov/directory/federal/agency-for-inter-development.shtml
Environmental Protection Agency	www.usa.gov/directory/federal/environmental-protection-agency.shtml www.usa.gov/Citizen/Topics/Environment-Agriculture/Environment.shtml
General Services Administration	www.usa.gov/directory/federal/general-services-administration.shtml
National Aeronautics and Space Administration	www.usa.gov/directory/federal/national-aeronautics-and-space-administration.shtml
National Archives and Records Administration	www.usa.gov/Contact/verify-social-media.shtml apps.usa.gov/docsteach.shtml apps.usa.gov/presidential-documents-app.shtml apps.usa.gov/to-brink-jfk-cuban-missile-crisis.shtml apps.usa.gov/todays-doc.shtml www.usa.gov/Citizen/Topics/History-American.shtml www.usa.gov/Citizen/Topics/History-Family.shtml www.usa.gov/Citizen/Topics/History-Culture.shtml www.usa.gov/Topics/Reference-Shelf/Libraries.shtml
National Science Foundation	www.usa.gov/directory/federal/national-science-foundation.shtml
Nuclear Regulatory Commission	www.usa.gov/directory/federal/nuclear-regulatory-commission.shtml
Office of the Director of National Intelligence	N/A
Office of Personnel Management	www.usa.gov/directory/federal/office-of-personnel-management.shtml www.usa.gov/Federal-Employees/Federal-Employees-Gateway.shtml blog.usa.gov/post/11995704485/get-answers-to-your-questions-about-the-new-

[usajobs](#)

www.usa.gov/Agencies/Federal/Independent.shtml#O

apps.usa.gov/usajobs.shtml

www.usa.gov/Citizen/Topics/Government-Jobs.shtml

www.usa.gov/Citizen/Topics/Education-Training/Finding-Jobs.shtml

Small Business
Administration

www.usa.gov/directory/federal/small-business-administration.shtml

Social Security
Administration

www.usa.gov/directory/federal/social-security-administration.shtml

APPENDIX H: E-RULEMAKING

In accordance with Section 206 of the E-Gov Act, this appendix describes agencies' online electronic regulatory submission capabilities, specifically the usage of www.Regulations.gov and the Federal Docket Management System (FDMS).

Department of Agriculture

eRulemaking has simplified the public's participation in USDA's rulemaking process by making regulatory information more accessible on www.Regulations.gov. USDA also benefits from the cost savings associated with not needing to develop and operate duplicative agency-specific electronic systems. In FY 2013, USDA posted 250 rules and proposed rules, 804 Federal Register notices, and 25,023 public submissions via www.Regulations.gov. Overall, USDA provides the public access to 281,571 documents in www.Regulations.gov. The eRulemaking Program also offers a streamlined internal rulemaking business process through agency access to FDMS.gov. USDA had 196 staff using www.FDMS.gov in FY 2013, and created 107 regulatory dockets in FDMS for regulatory actions published in FY 2013.

Department of Commerce

The eRulemaking program provides substantial benefits as an electronic docket solution for DOC to manage their regulatory information and to post documents for public comments as well as other submissions. DOC's participation in the eRulemaking program enhances the public's access to, and participation in, the regulatory process, improves DOC's regulatory processes, and creates transparency for all regulatory decisions. Participation in this program allows DOC to provide a publicly accessible website containing electronic dockets for regulations. DOC's regulatory information is accessible on www.Regulations.gov. In FY 2013, DOC posted 330 rules and proposed rules and 197 Federal Register notices, received 23,884 public comments, and provided public access to 25,391 documents at www.Regulations.gov. The www.Regulations.gov website improves the public's engagement with DOC by supporting the notice and public comment process for rulemaking and promoting public participation for an open exchange of regulatory information. Additionally, the FDMS docket management system provides DOC staff with continuous improvement of internal docket management functionalities, electronic recordkeeping, and the ability to publicly post all relevant documents on www.Regulations.gov (e.g., Federal register documents, proposed rules, notices, supporting analyses, and public comments). In FY 2013, 196 DOC staff members used www.FDMS.gov, which facilitated the creation and posting of 275 regulatory dockets in FDMS. DOC received 21,464 public comments via www.Regulations.gov. These comments are stored directly in FDMS.

Department of Defense

DOD continues to use the eRulemaking FDMS, and www.Regulations.gov has increased citizen access and participation in the DOD rulemaking process. FDMS provides for document management with an electronic record-keeping capability. FDMS enables DOD users to create, revise, and manage their docket materials through the use of role-based access controls, as well as, workflow and collaboration processes. The www.Regulations.gov website provides a centralized location for citizens to provide feedback on DOD rulemaking activities, and provides citizens with a user-friendly web form to submit comments and supporting documents, offers simple and sophisticated searches, bookmarking, email notifications, and other social media tools. Additionally, regulatory officials can use www.Regulations.gov to view, download, and analyze comments submitted for their rulemakings. In addition, www.Regulations.gov provides the public with updates to the department's Unified Agenda of Regulatory and Deregulatory actions, as well as updates on its regulatory and retrospective plans. During

FY 2013, DOD posted 10,925 documents to www.Regulations.gov to include rules, notices, supporting documentation, and public comments. DOD published 72 interim and final rules, 32 proposed rules, and 363 notices. DOD received 458 public comments via regulations.gov and posted 540 public comments to www.Regulations.gov.

Department of Education

ED accepts public comments on all of its proposed and interim final regulations, as well as an increasing number of other regulatory documents, through www.Regulations.gov. In FY 2013, the department posted 41 proposed rules, 190 Federal Register notices, and 1,906 public submissions on www.Regulations.gov, including proposed regulations regarding Federal Student Loans which were issued after a three-month regulatory negotiation with the affected community. The department received 25 comments on these proposed regulations. The department was able to use the FDMS to access these comments, while non-Federal members of the negotiating committee and the public had access via www.Regulations.gov. Public users were able to respond to other commenters' suggestions, and FDMS resulted in final regulations being published faster than they would have without electronic commenting. Use of these systems eliminated the need for the department to staff a public docket room for visitors and copying needs. Similarly, the department benefited from using www.Regulations.gov for notices seeking public input on the issues that the next negotiated rulemaking committees should address. The agency received about 1,000 comments in response to these notices and has been able to narrow down the issues to address through negotiated rulemaking as a result.

Department of Energy

DOE recorded the following data pertaining to usage of the FDMS and www.Regulations.gov in FY 2013:

- Agency user logins: 15
- Total documents posted: 17,066
- Rulemaking dockets created: 34
- Rulemaking dockets posted: 95
- Federal Register rules published: 52
- Federal Register rules proposed: 133
- Federal Register notices posted: 383
- Comments received via www.Regulations.gov webform: 276
- Comments posted on www.Regulations.gov: 2,135
- Total documents posted on www.Regulations.gov (all types): 3,889

Department of Health and Human Services

HHS's Public Participation Task force updated and added new content to the Department's web page dedicated to regulations (www.hhs.gov/regulations), which serves as a "one-stop shop" for information

about the department's regulatory activity. The site features a daily update providing access to all HHS regulations currently open for comment. Visitors can select a specific division of the department to access current information about published regulatory proposals. Information available on the site is easily sorted by the comment-deadline date, title, document type, or by the Federal Register ID number. The site provides full text of the documents, exactly as they appear in the Federal Register. Using this tool, members of the public seeking to comment on HHS regulations before they move to the final rule stage can quickly access the information they are seeking. The department's primary goal in creating the web page is to increase meaningful public participation in the department's regulatory activity. Additionally, the site provides the public with electronic access to the department's efforts to identify existing regulations that are obsolete, unnecessary, burdensome, or counterproductive, and allows a visitor to identify regulations that meet the prescribed criteria. The information submitted by visitors is shared with relevant divisions within HHS for consideration.

The website also provides a regulations "toolkit," which provides an overview of the regulations process and how to participate, as well as links to various other useful resources. HHS continues to seek new ways eRulemaking can help enhance the public's involvement with its regulatory activity. Increasing interest in accessing HHS's regulations electronically allows HHS to reach a broader audience, and make it easier to access regulatory documents. As a result of these efforts, the FDA has seen a decrease in in-person visits to its facilities to read regulatory documents. In FY 2007 there were 1,207 in-person visits to FDA's public reading room. There were 283 such visits in FY 2012, and only 245 in FY 2013.

Department of Homeland Security

The eRulemaking program has simplified the public's participation in the DHS rulemaking process by making regulatory information more accessible on www.Regulations.gov. The www.Regulations.gov website improves DHS public engagement by supporting the notice and public comment process for rulemaking. In FY 2013, DHS posted 808 rules and proposed rules, 928 Federal Register notices, and 11,275 public submissions on www.Regulations.gov. DHS also posted 1,140 documents that consisted of supporting and related materials associated with other postings. Overall, DHS provides public access to 14,238 documents on www.Regulations.gov. The eRulemaking program also offers streamlined internal rulemaking business processes with agency access to the FDMS. DHS created 1,121 regulatory dockets in FDMS for new regulatory actions published in FY 2013.

Department of Housing and Urban Development

HUD participates in the government-wide eRulemaking initiative, www.Regulations.gov. The goals of this initiative are to increase public access to and participation in developing HUD regulations and other related documents that can impact the public, and to promote more efficient and effective rulemaking through public involvement. HUD believes that www.Regulations.gov is meeting these goals. The eRulemaking initiative has increased meaningful public participation by enabling HUD to process large numbers of public submissions related to proposed rules in a much more efficient and timely manner. For example, HUD's proposed rule to affirmatively further Fair Housing received almost 1,000 public comments. Making comments available online at www.Regulations.gov is an invaluable resource for the public, and has greatly reduced the time required for agency personnel to analyze the issues raised in the public comments.

Department of the Interior

The eRulemaking Program has simplified public participation in DOI's rulemaking process by

making regulatory information more available and accessible on www.Regulations.gov. This website increases opportunities for public involvement in DOI's rulemaking process by making it easier to submit comments on proposed rules published by the department. In FY 2013, DOI posted 106 rules and 207 proposed rules, 100 Federal Register notices, and 63,539 public submissions on www.Regulations.gov. Overall, DOI provides public access to 66,383 documents on www.Regulations.gov. The eRulemaking Program offers streamlined internal rulemaking business processes with agency access to the FDMS via www.FDMS.gov. DOI had 143 staff using FDMS in FY 2013, and created regulatory dockets in FDMS for new regulatory actions published in FY 2013. DOI has received 63,539 public comments via www.Regulations.gov that are directly stored in FDMS.

Department of Justice

With one single online website, the FDMS enables DOJ 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 with more active regulatory and notice programs are the Bureau of Alcohol, Tobacco, Firearms, and Explosives, the Civil Rights Division, the Drug Enforcement Administration, the Executive Office for Immigration Review, and the Federal Bureau of Investigation. In FY 2013, DOJ created 122 regulatory dockets in FDMS for new regulatory actions published. The agency has received 1,483 public comments via www.Regulations.gov that are directly stored in FDMS. In FY 2013, DOJ posted a total of 35 rules and proposed rules, and posted 16,477 total documents.

Department of Labor

DOL has participated in the eRulemaking initiative since 2006. DOL has also developed a new website (www.dol.gov/regulations/) which allows the public to learn more about the regulatory process and specific DOL regulatory activities, and facilitates access to DOL regulatory material. This new website also provides the public with a live web experience where the Secretary of Labor and other DOL executive leadership staff answer questions submitted online from the public about the DOL regulatory agenda. In FY 2013, DOL posted 38 rules and 21 proposed rules, 274 Federal Register notices, and 2,269 documents on www.Regulations.gov. The eRulemaking Program offers streamlined internal rulemaking business processes with agency access to www.FDMS.gov. DOL had 227 staff using FDMS in FY 2013, and created 52 rulemaking dockets. DOL has received 1,319 public comments via www.Regulations.gov that are directly stored in FDMS.

Department of State

FDMS enhances State's ability to receive public comment on a worldwide basis. Partnering with other government agencies on a shared rulemaking application and website makes the rulemaking process transparent to the public at a far reduced cost. eRulemaking allows the department to interface with existing regulatory offices and systems without duplicating data entry. All government agencies use a common taxonomy and unique rules identifiers in the eRulemaking application, resulting in consistency that is easy for the public to learn and understand. The department can post all of its proposed rules for public comment and the public can also see the rule progress throughout its lifecycle. In FY 2013, State published ten final rules, three interim final rules, and six proposed rules, 438 Public Notices, ten Presidential Memos, 16 Presidential Determinations, and 23 Delegations of Authority.

Department of Transportation

DOT participates in the FDMS at www.Regulations.gov. DOT also promotes public participation in

rulemaking activities via the Regulation Room, a pilot project in partnership with the Cornell e-Rulemaking Initiative to discover the best ways of using Web 2.0 and social networking technologies to further rulemaking efforts. Normally, an agency issues its proposed rulemaking in the Federal Register and may take such additional steps as issuing a press release and posting the document on its website, inviting the public then to submit comments through www.Regulations.gov, mailing in a letter to the agency, or occasionally by attending a public meeting. The design of this process results in a series of one-way communications, where the government speaks to the public and then various members of the public speak back to the Government. FMCSA piloted a rule on electronic on-board recorders (EOBRs). During the time the rule was open on Regulation Room, 5,328 unique visitors came to the site. There were 8,855 total visits, with people spending an average of 3.41 minutes on the site. The pilot is archived at: regulationroom.org/eobr/use.

Department of the Treasury

Treasury was an early participant in the eRulemaking initiative, and has numerous proposed and interim rules and other materials posted for public comment and review on the eRulemaking site. Treasury uses the Federal Register to publish notices on its rulemaking activities. In addition, it posts proposed and final rules to www.Regulations.gov. The public can review, read, and comment on all Treasury postings on the Portal. Treasury has been in compliance with the eRulemaking requirement by posting proposed and interim rules for public comment on www.Regulations.gov on a regular basis. Treasury links to www.Regulations.gov in the footer on every page of www.Treasury.gov.

Department of Veterans Affairs

VA is an active and successful participant in the eRulemaking initiative. VA utilizes the FDMS 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 the regulations are under development. VA's Office of Regulation Policy and Management in the Office of the General Counsel has a website (www1.va.gov/orpm), which links readers to the Electronic Code of Federal Regulations where all current VA regulations can be found. The site also lists all VA rulemaking documents published in the Federal Register, and provides convenient links to copies of those publications and other materials that might be of interest to the public.

U.S. Agency for International Development

USAID partners with EPA on the eRulemaking Program. The agreement between USAID and the EPA supports the maintenance and operation of the government-wide electronic docket management system. USAID annually transfers funds to EPA that reflect USAID's service fee for the implementation, use, and the operation and management of FDMS. Access to and use of FDMS is granted to USAID, along with all other Federal agencies and the general public.

Environmental Protection Agency

EPA is the managing partner of the eRulemaking Program. In FY 2013, the www.Regulations.gov website continued to increase usability with improved search results, new document viewing pages and streamlined redesign of the public comment webform. The www.FDMS.gov Comment Deduplication Engine, launched in November 2012, streamlines agency comment management and review processes. In FY 2013, all rulemakings published in the Federal Register were made available on www.Regulations.gov; 92% of them were accompanied by a www.Regulations.gov docket. A total of 38 partner agencies used FDMS to post regulatory dockets. By the end of the fiscal year,

www.Regulations.gov had received 531,895 public comments via the online webform. On average, the site received 2.2 million page views and 286,000 visits per month. During this time, EPA published 1,225 rules and proposed rules and 984 Federal Register notices of its own. These, along with 17,615 supporting and related materials and 39,900 comments, were made available for public consideration on www.Regulations.gov. Overall, EPA posted 59,820 documents to www.Regulations.gov in FY 2013.

General Services Administration

The eRulemaking Program is a collaborative, interagency effort, whose purpose is to establish a common, automated, and integrated repository for managing Federal rulemakings and non-rulemaking actions that follow a structured notice and comment process. The project consolidates the dockets of various departments and agencies and centrally manages them through a web-based environment offering services such as one-stop access, search capabilities, public comment submission, email notification, bookmarking, and electronic records management meeting the DOD 5015.2 standard recognized by the NARA. GSA is partner agency in the eRulemaking program.

National Aeronautics and Space Administration

NASA's participation in the e-Rulemaking initiative is 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 two million documents posted on www.Regulations.gov. Direct budget cost savings and cost avoidance result from NASA's transition to FDMS and www.Regulations.gov, enabling the agency to discontinue efforts to develop, deploy, and operate specific individual online docket and public comment systems.

National Archives and Records Administration

The OFR posts agency submissions to its Electronic Public Inspection Desk on www.OFR.gov and www.FederalRegister.gov. The Public Inspection Desk enables the public and agencies to view manuscript copies of Federal Register documents in PDF form at least one day before final publication in the Federal Register. Customers may also subscribe to email and RSS notifications of Public Inspection documents. The www.FederalRegister.gov website also supports email subscriptions to a specific agency's documents, the daily table of contents, and advanced search results. These services give the public and commercial entities more time to prepare comments on proposed rules or take steps to comply with new regulatory requirements. To simplify the use of data across platforms the www.FederalRegister.gov website is completely integrated with www.Regulations.gov and FDMS, including direct access from www.FederalRegister.gov to agency dockets on FDMS. The Federal Register 2.0 site also contains direct links to the Unified Agenda to trace the regulatory history of significant rules. The OFR manages its own regulatory actions in the FDMS, and provides extensive guidance and technical resources to the eRulemaking program through its membership on the Advisory and Governing Boards.

National Science Foundation

NSF's support of fundamental science and engineering research requires the Foundation to maintain constant contact with the research community. The www.Regulations.gov website provides the research community (as well as members of the public) with a one-stop web-based, central location to track regulations proposed by NSF and to provide comment when applicable. The FDMS allows NSF to manage its regulatory information in a system developed through other agency best-practices and collaboration. The Foundation typically publishes only one to three proposed regulations per year. The Foundation typically publishes only one to three proposed regulations per year. During FY 2013, NSF

published one proposed regulation.

Nuclear Regulatory Commission

The eRulemaking Program has helped the NRC by making regulatory information more accessible on www.Regulations.gov to simplify the public's participation in the NRC rulemaking process. The www.Regulations.gov website improves the NRC's public engagement by supporting the notice and public comment processes for rulemakings. Using the FDMS, the NRC has created dockets on www.Regulations.gov for all documents that the agency has published in the Federal Register since December 2007. In FY 2013, the NRC posted 72 rules and proposed rules, 595 Federal Register notices, and 1,991 public submissions in www.Regulations.gov. The NRC also posts stakeholder comments on guidance and other non-rulemaking documents, as well as supplemental background information and supporting documents for significant agency actions. In addition, in October 2012 the NRC used www.Regulations.gov to collect 347 public comments during the scoping process to prepare an Environmental Impact Statement to support a rulemaking that will update the Commission's Waste Confidence Decision.

Office of the Director of National Intelligence

N/A

Office of Personnel Management

OPM's participation in the eRulemaking Program enabled the agency to fulfill the E-Government Act of 2002 requirement to make available a publicly accessible website containing electronic dockets for regulations. OPM has used www.Regulations.gov and the FDMS as its online regulatory system since 2006. In FY 2013, OPM posted 16 final rules, 17 proposed rules, and 94 notices on www.Regulations.gov. OPM received 7,996 comments via www.Regulations.gov, and 2,239 comments were posted. Overall, OPM has posted 311 rules and proposed rules, 610 Federal Register notices, and 2,604 public comments in www.Regulations.gov. OPM provides public access to 3,796 documents in www.Regulations.gov.

Small Business Administration

SBA is an active participant in electronic rulemaking. During FY 2013, SBA created 15 rulemaking dockets through the FDMS for inclusion on www.Regulations.gov. One of these dockets, the 504 and 7(a) Regulatory Enhancements, generated 99 public comments. One docket, SBIR and STTR Programs Commercialization Benchmarks, generated 54 comments. The other dockets generated an average of ten comments per docket.

Social Security Administration

SSA is a partner agency in the eRulemaking initiative. SSA began working with EPA and the other partner agencies to develop FDMS in June 2004. Since 2006, SSA has used the FDMS to provide information to the public to increase their understanding of SSA's mission, programs, and actions taken by the agency. SSA documents published in the Federal Register can be found by accessing the Federal eRulemaking web portal. All comments received from members of the public are available on www.Regulations.gov. The eRulemaking Program simplified the public's participation in SSA's rulemaking process by making regulatory information more accessible. The www.Regulations.gov website improves public engagement by supporting the notice and public comment process for

rulemakings. Additionally, the eRulemaking Program offers streamlined internal rulemaking business processes with agency access to www.FDMS.gov. Eleven staff members use www.FDMS.gov, and SSA has received 125 public comments via www.Regulations.gov that are directly stored in FDMS.

The Office of Regulations (OR) is the focal point within SSA for the development of the agency's regulations, Social Security Rulings, and Federal Register Notices. OR staff draft regulations and steer documents through the clearance process in SSA, OMB, and the Office of the Federal Register. Additionally, OR is responsible for developing and submitting the annual Regulatory Plan and semi-annual Unified Agenda of Federal Regulations to OMB for review and approval, and to the Office of the Federal Register for publication.

APPENDIX I: NATIONAL ARCHIVES AND RECORDS ADMINISTRATION RECORDKEEPING

In accordance with Section 207(d)-(e) of the E-Gov Act, this section describes agencies' adherence to the National Archives and Records Administration (NARA) recordkeeping policies and procedures for electronic information online and other electronic records.

Department of Agriculture

The USDA has well-established processes and procedures to ensure the proper management, scheduling, and disposition of USDA records at www.ocio.usda.gov/policy-directives-records-forms/records-management. The USDA's Records Management Officer leads the department-wide effort to comply NARA and OMB requirements. USDA records management staff members continually identify electronic information systems containing records and revise the agency's records schedules as appropriate. USDA submitted 189 schedules for electronic information systems associated with the 251 major and non-major IT investments in its IT portfolio, by the end of FY 2013. NARA has approved 187 of those schedules and two schedules are pending NARA's review.

Department of Commerce

DOC has established records management policies and records schedules for all of the department's records, including electronic information and other electronic records. These records management programs ensure permanent records in all media form are transferred to NARA according to the approved records schedules. DOC is incorporating electronic records management requirements into the Enterprise Architecture, for internal controls to ensure the reliability, authenticity, integrity, and usability of agency electronic records maintained in electronic information systems. DOC also has an active working group of records officers who are internally reviewing and updating the DOC policy. The goal is to ensure DOC policy addresses many of the categories in NARA's 2013 Self-Assessment, and *OMB Memorandum M-12-18 Managing Government Records*,¹⁰ and has sections that specifically address IT systems and electronic records. A revised policy is expected in the 3rd quarter of FY 2014. Some key updates being include requiring the Records Officer involvement in the planning and development stages of new IT systems, and more robust policies and procedures for email records that have a retention period longer than 180 days. The working group is also developing Records Management training, including a module designed for IT professionals, which will address records management of electronic records, as well as tie the material the DOC policy and procedures. The rollout of virtual training is expected in calendar year 2014.

Department of Defense

DOD continues to improve its capabilities for records management (RM) of electronic records through policy and implementation. The DOD CIO recently revised and is coordinating department-wide policy that addresses the challenges of managing the high volume of electronic records being received or created within the DOD. The revised policy emphasizes that RM requirements be considered during business process design, enterprise architecture, and systems development processes. For unstructured electronic records, the policy calls for the deployment of a RM solution that is compliant with *DOD 5015.02-STD, "Electronic Records Management Software Applications Design Criteria Standard."* In all cases, the policy calls for scheduling of any records, electronic or otherwise. Through this governance structure, the DOD will continue its progress in improving the management of electronic records. Agencies across DOD also continue to adopt and implement RM Applications (RMAs). In the past, the number of electronic records that have been scheduled with NARA and any pending scheduling for

electronic systems was provided in a twice-annual report to NARA. However, beginning in FY 2013, that report will be done on an annual basis and included in the RM Self-Assessment that is due each December. Additionally, DOD is ensuring records officers are certified and that all employees are trained to understand their records management responsibilities.

Department of Education

ED complies with all NARA policies for the management of electronic records, including online records. An electronic information systems data call was recently completed to identify all current systems. A comprehensive validation process is ongoing to identify scheduled and unscheduled electronic information systems. Thus far, ED has validated 121 electronic information systems are currently scheduled. Approximately 234 electronic information systems remain to be examined, including the agency's internet and intranet websites. The department also has five electronic information systems records schedules under development. ED revised and deployed a new mandatory records management online training module that includes specific requirements for managing electronic records, including email records. An agency-wide internal evaluation of component records management programs was conducted to assess adherence to the agency's policies and procedures for managing electronic records. The department completed a pilot of an electronic recordkeeping system to assess its capabilities for managing all agency electronic records, including email records. In addition, the department is currently exploring adoption of NARA's Capstone approach for managing email records.

Department of Energy

DOE is actively focused on issues involving electronic records scheduling, managing social media records, managing e-mail records, and managing shared drive contents. The OCIO provides RM Program oversight and direction for the department, and coordinates IT efforts with RM on matters involving research, development and deployment of IT applications managed by the OCIO. The OCIO also partners with departmental elements through its IT Council, RM Working Group, and other forums to identify electronic records and electronic information systems (EISes) for scheduling and to communicate retention requirements.

Social media and cloud computing records are monitored and reviewed for records implications. Unscheduled records and systems data are treated as if permanent records to help ensure safeguarding pending Archivist disposition authority. DOE also participates in the NARA-led Federal Records Council and NARA-led Electronic Records Management Automation Work Group, which are engaged in efforts to evaluate software solutions for electronic and e-mail records management. DOE retains its electronic information with department record owners responsible for applying authorized dispositions, including temporary and permanent records. Unscheduled electronic information is stored on servers and in systems as if permanent, to ensure proper safeguarding, and until a records disposition is approved. NARA-defined a cutoff of post-December 2007 for defining media-neutral scheduling defaults. Records schedules prior to that date are media specific, and are presumed to be paper unless otherwise stated. Consequently, DOE has submitted several records schedules that were Archivist-approved since January 2008, including more 200 separate record items across several functional series. The items include those initially submitted post-2007, as well as those approved pre-2008 that were resubmitted for NARA re-consideration as media neutral and Archivist-approved post-December 2007. At present, DOE has no electronic systems schedules pending with NARA for consideration.

Department of Health and Human Services

HHS uses the General Records Schedules (GRS) maintained by NARA whenever feasible. For

records the GRS do not address, HHS submits unique records schedules for NARA's approval. HHS communicates its records management policies and practices online at www.hhs.gov/ocio/policy/recordsmanagement. All HHS operating divisions use the NARA Electronic Records Archives information system for transferring permanent electronic records to NARA's custody. HHS recently completed a roadmap for furthering its electronic records management practices. HHS currently has 1,314 approved records schedules associated with information systems and 23 records schedules for information systems submitted to NARA that are pending approval.

Department of Homeland Security

DHS uses several methods to ensure NARA recordkeeping policies and procedures are adhered to for electronic records. The CIO is responsible for the seamless capture and storage of electronic records and associated metadata. Additionally, the CIO coordinates with the Department on any new enterprise systems as well as changes to or decommissioning of current systems to ensure records integrity. DHS Headquarters currently has 75 systems that have either agency or GRS approved schedules applied, and one system schedule pending at NARA. Since 2009, all schedules have been developed as “media neutral” which means they can apply to either hard copy or electronic records. Additionally, in 2012 DHS began development of Enterprise Records Disposition Authorities. This process initiated the coordinated, enterprise-level submission of records disposition requests for common functions across the Department (Investigation, Legal Records, Public Affairs, Intelligence, etc.). By developing these enterprise schedules, any new systems created that contain one of these record types, can automatically apply the enterprise schedule without further delay once they are approved by NARA. The first schedule of this type covers biometric records and consolidated eight unique systems schedules to one schedule with four categories (Immigration, Internal Credentialing, Law Enforcement and External Threat Assessment).

Additionally, to ensure metadata is captured DHS outlines metadata forms associated with electronically stored information. DHS policy includes information on storing email records, the use of the enterprise vault along with specific information on what classifies as a permanent or temporary email record or non-record. Furthermore, DHS oversees the departure of employees to ensure email and shared drive records are properly maintained for their retention period. A working group is in place to oversee any program office plans to transfer electronic records to a records management application. All new systems developed must have a records management plan approved by the working group. DHS promulgates these policies and procedures through Directives, Instructions, and training. Mandatory training is provided during employee in-processing as well as through DHScovery (the DHS Learning Management System) to Federal and contract staff.

Department of Housing and Urban Development

HUD has existing record schedules for all electronic information systems under the HUD Records Disposition Schedules and the GRS as appropriate. The Office of the Chief Human Capital Officer, in collaboration with the OCIO, is working to ensure that information systems, as required by the Privacy Act, have completed a required SORN which includes an approved HUD schedule or GRS. No new electronic record schedules have been submitted for FY 2013. Copies of records that have already been established under an approved HUD schedule or GRS are available online.

Department of the Interior

DOI established the electronic eMail Enterprise Records and Document Management System (eERDMS) program to move the agency toward an integrated electronic enterprise recordkeeping system

that provides support for messaging, records management, content management, case management, and early case assessment review. The eERDMS program consists of the following five systems: Enterprise Forms System, Enterprise eArchive System, Enterprise Dashboard System, Enterprise Content System, and Enterprise Fax System. These systems provide a department-wide solution to increase cost savings and improve greater efficiencies for managing records. To date, DOI has a total of 425 electronic systems, of which 345 have been scheduled. There were 80 electronic systems submitted to NARA for approval, of which 64 were approved and 16 are pending approval. The NARA-approved records schedules and description of the records systems are available at www.doi.gov/ocio/information_management/information_dissemination.cfm.

Department of Justice

In FY 2013, DOJ continued to follow its ongoing practice of scheduling electronic records that contain federal records. To date, the department has approximately 3,730 EIS (that contain Federal records), of which 3,231 have been scheduled with an additional 19 schedules submitted by DOJ and awaiting approval by NARA. All of DOJ's records schedules that are posted on NARA's public website are available at: www.archives.gov/records-mgmt/rcs/schedules/index.html?dir=/departments/department-of-justice/rg-0060. In addition, DOJ has an approved records retention schedule for its public facing websites including a separate schedule for social media tools used on those sites. The increase in the number of reported EIS and reported approved schedules is a direct result of an intensive department-wide inventory project.

Department of Labor

In 2013, DOL undertook a review of its Electronic Information Systems (EIS) inventory. Of the 143 systems identified, 11 were awaiting NARA approval of the submitted schedules. As of October 2013, NARA completed seven, leaving four schedules awaiting NARA approval. DOL continues to take a number of steps to coordinate continuing improvement in collaboration with records management and information technology staff. This has included broadening the channels of communication and bringing awareness with records management, IT staff and EIS related and affected programs. The importance of scheduling an EIS and managing electronic stored information (ESI) has also been incorporated into the DOL Management System (DLMS) documentation, which has been updated to include information on departmental procedures that conform to NARA's mandates and reporting requirements. Through documentation of policy and procedure, as well as formal and informal information exchange and annually mandated online training DOL has adhered to NARA recordkeeping policies and procedures for electronic information online and other electronic records keeping requirements.

Department of State

State has fulfilled the IT scheduling requirements of NARA Bulletin 2006-02. The department developed and implemented a NARA-approved comprehensive plan to schedule all unscheduled program systems in accordance with NARA Bulletin 2006-02. The department submitted records schedules to NARA for two IT systems in FY 2013.

Department of Transportation

DOT multi-year initiative to modernize its RM program seeks to implement an overarching approach to records management, which ensures agency records are properly managed from creation to final disposition. This allows DOT to effectively and efficiently accomplish its mission, support its business goals, protect the rights and interests of citizens, and identify, preserve, and transfer its permanently

valuable records NARA. The modernization effort is being led by DOT's CIO and Senior Agency Official for Records Management, in consultation with focus area stakeholders and functional business owners. The governance of the DOT RM program reflects the federated nature of DOT and utilizes a tiered model to ensure the program efforts are coordinated across the department, while also providing flexibility at the OA level based on individual statutory mission requirements. Records Liaisons (RLs) embedded throughout the OAs are directly responsible for the operational aspects of RM for their respective offices under the guidance of the RMOs.

The program's modernization efforts will continue through FY 2015, and includes goals, supporting initiatives, and measures to be implemented to meet DOT's RM mission. Among the goals identified in the analysis is the need to improve the knowledge and understanding of the importance of records management as a fundamental responsibility of Federal agencies and staff. Consequently, initial efforts focus on fundamentals to ensure that investments in new practices and technologies are rooted in an environment that is primed for success. DOT designed, developed, and implemented departmental training and conducted its first annual RM Outreach campaign. The training, has been completed by thousands of employees and contractors and has elevated across the organization at all levels the need for and importance of RM activities.

Department of the Treasury

Treasury will continue to schedule newly identified electronic systems on an ongoing basis as part of the bureau assessment plans. 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 1,267 electronic systems. Treasury's Records Schedules are available at: www.archives.gov/records-mgmt/rcs/schedules/index.html?dir=/departments/department-of-the-treasury.

Department of Veterans Affairs

The VA Office of Information & Technology, Enterprise Records Service is responsible for overseeing, directing and establishing long and short-term goals for VA's Enterprise Records Technology Programs. The Enterprise Records Management Service identifies the department's records needs, implements strategies to meet those needs, and advises senior officials and VA's communities concerning records management. Records Management is the VA's principle means for providing a structured review of all records management programs and operations. It enables continuous improvement of VA records management activities through ongoing evaluation and measurement of program work efficiency, and develops recommendations and projects to increase productivity, reduce errors and optimize VA resources in the delivery of service.

Additionally, the VA Directives and Handbook VA Publications website provides department-wide policy for VA's Directives Management System (DMS). VA's DMS includes directives, handbooks, and notices and is the official means by which department-wide policies, procedures, requirements, and other information of general applicability will be issued to VA employees. Additional information about VA Records Management information can be found at: www.rms.oit.va.gov.

U.S. Agency for International Development

USAID Automated Directives System's (ADS) outlines the agency's adherence to federal recordkeeping policies, including NARA. Under the ADS policy, the agency is directed to identify

records that need to be created and maintained to conduct agency business and create and preserve records that document the organization, functions, programs, policies, decisions, procedures, and essential transactions of the agency. This includes records necessary to protect the legal and financial rights of the government and of persons directly affected by the agency's activities. The policy also requires records to be managed according to the NARA-approved records schedules that determine where and how long records need to be maintained, and transfer permanent records to NARA. Finally, the policy addresses the creation, maintenance, use, and disposition of records, including databases, e-mail, web records, digital audiovisual materials, and records created from new and emerging technologies.

Environmental Protection Agency

EPA's National Records Management Program (NRMP) maintains a "master list" of electronic systems for tracking purposes. The list includes the name and acronym of each system, the responsible office, and the records schedule. The list is updated on a monthly basis as information is collected, and currently includes 1,867 databases and electronic systems that have been scheduled over time. The NRMP works with the system manager for the Registry of EPA Applications, Models, and Databases (READ) to review information submitted for the READ data call. The READ record includes a "tab" for record retention information. The READ records tab information is reviewed by NRMP staff for accuracy. It is also a way to learn about new information systems that need to be investigated for scheduling purposes.

In FY 2013, EPA received records schedule approval from NARA for one major electronic system, the Underground Injection Control National Database. A records schedule for the Superfund Enterprise Management System is in the development and approval phase within the Agency. Two minor electronic databases were scheduled as part of previously approved "big bucket" schedules. There are currently 25 transfers of electronic systems to NARA in process. 12 Legal Transfer Instruments were completed, covering the following electronic systems: Clean Watersheds Needs Survey, Integrated Risk Information System, the EPA Newsroom Database, and the Air Quality System. EPA completed the consolidation of 788 schedule items into 21 schedules with 89 disposition items and submitted them to NARA. The 21 consolidated schedules are "media neutral" covering records in any format, including electronic. NARA has approved five of the consolidated schedules to date.

Additionally, EPA is working on an update to its records management policy to strengthen the requirements for managing electronic records and electronic mail. Changes include maintaining permanent records electronically, ensuring secondary email accounts are managed appropriately, migrating records in legacy systems to official electronic records management systems where practicable, and ensuring records are placed in an official electronic records management system either automatically or by a manual process. EPA created tools to transfer email records from the current and legacy email systems into a Documentum records repository. EPA is currently conducting market research on records auto-categorization technology to supplement the current suite of tools to capture electronic records.

EPA also developed a consolidated records schedule for records of senior officials developed, which includes a permanent retention for email of senior officials. The schedule is being reviewed by NARA. EPA's Electronic Content Management Subcommittee Records Work Group worked on several initiatives in FY 2013, including recommended procedures and standards from the digitization sub-work group which are under review. Other initiatives for FY 2013 included electronic rulemaking content, guidance on shared drives and records, FOIA technology, and drafting an Enterprise Information Management Policy. The work group also reviewed the draft Media Records Management Guidance and Data Retention Procedures for eDiscovery.

General Services Administration

GSA has been actively improving their records program to ensure compliance with all records keeping regulations and other requirements, especially those involving electronic records. In FY 2013, GSA reorganized the Records Management program moving it from the OCIO to the Office of Administration creating the Records Management Branch with seven full time records management employees in GSA's Central Office. A new records management directive has been written and is awaiting a signature that will give GSA a modernized records management policy. Mandatory records management training was also rolled out to the entire agency, and a year-long evaluation of GSA's disposition authorities has resulted in the development of an improved and modernized flexible records schedule that will be submitted to NARA in December 2013. GSA also continues developing new records management training courses specifically for senior leadership, program managers, records officers and all GSA employees.

National Aeronautics and Space Administration

NASA follows agency policy and procedures for the management of federal records, independent of the media or format of the records. An agency inventory of its electronic information systems identifies whether they contain Federal records, and whether there are proper approved retention schedules that govern the disposition of the records. Of the 2,187 information systems identified in 54 subject categories, 1,330 contain records. NASA continues to create and submit to NARA retention schedules for newly identified records determined to be unscheduled. NARA approved two new media neutral records retention schedules in FY 2013 and another is pending Archivist approval. Most new schedules have been approved with records in over 1,250 of NASA's systems now covered by appropriate retention schedules. The agency now has NARA approved schedules for 96.3% of the categories of systems. NASA continues work on developing proposed schedules for the remaining 3.7% of the subject categories of systems containing 94 systems or applications whose records require schedules. NASA partners with NARA as it studies uses of, and works toward developing guidance, policies, and schedules for social media and resultant e-records. Further, the agency is refining new guidelines and procedures that increase instructions for e-records and better integrates management of electronic records into IT governance. These will be incorporated into revisions of new agency policy documents.

National Archives and Records Administration

FY 2013, NARA's Corporate Records Management staff made significant progress with regards to electronic recordkeeping by implementing cloud email management, disposing of inactive paper records, and issuing an updated records management policy directive. NARA migrated email from Novell GroupWise to Google's Gmail (Google Apps for Federal Government). As part of our cloud architecture, NARA implemented records management capabilities through a cloud-hosted, certified Records Management Application (RMA). NARA has applied the Capstone email approach to automatically capture NARA email records and manage them in a cloud-based repository. The cloud-based RMA supports NARA's internal records management and litigation requirements, including the capability to identify, retrieve, and retain the records for as long as they are needed. It meets OMB requirements by managing both permanent and temporary email records in an accessible electronic format.

More than 70% of NARA's program areas have finalized detailed plans for the disposition of internal NARA records. Through records disposition plans, Information Management Officers (IMOs) and Records Custodians identified records maintained in program areas, linked them to the records schedule, and identified their disposition dates. Through disposition logs, nearly 60 percent of NARA's program areas identified inactive NARA records eligible for transfer to a Federal Records Center, in-office disposal, or accessioning to NARA's holdings. In coordination with the Senior Agency Official for

Records Management, NARA issued a new policy directive that updates program objectives and roles for implementing the responsibilities of records management laws and regulations. It establishes NARA's Corporate Records Management Program and forms the basis for a new policy framework to support electronic recordkeeping requirements and implements specific OMB requirements. In addition to these initiatives, Corporate Records Management staff ensures that records management requirements are included where appropriate in policies and systems development. Examples include procuring recordkeeping functions for NARA's new cloud email system, reviewing records paragraphs in policies, coordinating NARA's reports required by the new Managing Government Records Directive, managing NARA's vital records program, and participating in NARA's COOP exercise.

National Science Foundation

NSF recognizes the importance of managing all of its records. The agency continuously reviews NARA-approved records schedules to ensure they correctly represent the organization's current business practices. NSF's largest permanent record group is the Grant/Proposal Awards group. That records schedule was updated to reflect the agency's move from paper-based to an electronic format. We are using the Electronic Records Archives (ERA) to transfer eligible permanent electronic records from that group to NARA for archival. The NSF records office is working together with the information technology office during the electronic records transfer process. These groups' collaborative efforts ensure that records and archival management functions are incorporated into the design of new electronic systems and are compliant with NARA guidelines.

NSF has implemented an Electronic Records Management System (ERMS), Documentum. The agency is working to bring all legacy paper records and electronic records into the Documentum system. The organization is analyzing every opportunity to transition its business practices from paper-based record keeping to electronic records management. These opportunities continue to present themselves as legacy systems are replaced and the life-cycles of their record outputs are evaluated and brought into alignment with current organizational goals and practices. NSF also recognizes the importance of records management training for all agency staff. The agency is enhancing training programs to make sure all employees are aware of their responsibility to identify and protect agency official records.

Nuclear Regulatory Commission

In 2013, key records management activities in support of E-Government included deployment of ADAMS Records Manager (RM) to automate file retention and disposition, as well as the application of a filing scheme for agency records that is consistent with NRC lines of business. Projects scheduled for 2014 - 2019 include digitization, revisions to records policy and governance, and establishment and enforcement of a certification process for records compliance on all electronic data systems. The NRC currently has six retention schedules pending at NARA, which address electronic systems. All other identified systems have approved retention schedules.

Office of the Director of National Intelligence

ODNI, as a relatively new agency, is closely following NARA guidance for identifying, describing, scheduling, and archiving electronic records, which are the majority of the agency's records.

- ODNI keeps a running inventory of all electronic records systems and series which is updated semi-annually.
- Electronic records and systems are all accounted for in draft, submitted, and NARA approved

records control schedules governing their ultimate disposition.

- Records control schedules are media neutral, flexible schedules that follow NARA guidance to prepare for future adoption of electronic records management systems.
- Records control schedules anticipate the maintenance of electronic records for continued readability and eventual transfer of permanent records to NARA in useable formats far into the future by specifically requiring updating and migration.
- ODNI email is preserved in a NARA-approved system and the permanent email of senior officials is specifically identified and archived.
- The ODNI's IC-CIO is leading the initiative to move Intelligence Community information to a cloud environment through the establishment of the Intelligence Community Information Technology Environment (IC-ITE), which is in direct compliance with the President's Memorandum on Managing Records and NARA/OMB follow-on guidance. This move will support enhance information sharing and collaboration. Further, IC-ITE is being developed to adhere with NARA Bulletin 2010, Guidance on Managing Records in Cloud Computing Environments.

Office of Personnel Management

OPM's Record Management Program has an online recordkeeping guide of policies and procedures for electronic information and other electronic records for all of OPM located at: www.opm.gov/RecordsManagement/policies/index.asp. OPM has also issued a new employee course which outlines OPM's policy and procedures to ensure records are in compliance with Federal laws and regulations that establish principles, responsibilities, best practices, and requirements for managing such records. OPM has updated the System Development Lifecycle (SDLC) to include Records Management in all nine phases of the OPM SDLC. The SDLC includes a checklist that provides three to five basic questions about records management and recordkeeping for each phase of the SDLC process. OPM has also drafted an update to the existing Records Management Directive, which contains guidelines for the creation, organization, maintenance, and disposition of OPM records. Over the last year OPM has worked with the Federal Records Council, of which OPM is a member, on all aspects of improving records management in the federal government. Additionally, OPM has worked with NARA on the scheduling of numerous important Electronic Information Systems such as USAJOBS and USA Staffing. OPM currently has four systems being reviewed by NARA, and is in the process of preparing to complete all four remaining EIS systems by the end of 2013. OPM's efforts over the last four years have improved records management to the point where it has received a 100 on the National Archives recent assessment of agency records management programs.

Small Business Administration

SBA currently has 29 approved electronic systems. During FY 2013, SBA had no pending or new electronic records scheduled with NARA.

Social Security Administration

SSA schedules records under agency-specific schedules GRS. NARA maintains public access to the GRS at www.archives.gov/records-mgmt/grs, and public access to SSA-specific schedules at

www.archives.gov/records-mgmt/rcs/schedules/index.html?dir=/independent-agencies/rg-0047.

In FY 2009, SSA submitted all required records schedules to satisfy NARA mandates. SSA received NARA's approval and fully-implemented the submitted schedules for the agency's Internet Websites and Master File Electronic Information Systems (Enumeration System, Earnings Recording and Self-Employment Income System, Master Beneficiary Record, and Supplemental Security Income System).

SSA implemented a tool as part of its systems life cycle process to ensure records management requirements are included in the systems' functionality. SSA has two registered agency-specific schedules pending at NARA for approval. Those two schedules encompass agency records for the Office of the Chief Actuary and Office of Legislation and Congressional Affairs. SSA anticipates receiving NARA's final approval by the end of 2014.

APPENDIX J: FREEDOM OF INFORMATION ACT (FOIA)

In accordance with Section 207(f)(1)(A)(ii) of the E-Gov Act, this appendix provides the URL's for agencies' primary FOIA website.

Agency	Agency URL(s)
U.S. Department of Agriculture	www.usda.gov/da/foia.htm
U.S. Department of Commerce	www.osec.doc.gov/omo/foia/foiawebsite.htm
U.S. Department of Defense	www.dod.mil/pubs/foi/dfoipo
U.S. Department of Education	www.ed.gov/policy/gen/leg/foia/foiatoc.html
U.S. Department of Energy	energy.gov/management/office-management/operational-management/freedom-information-act
U.S. Department of Health and Human Services	www.hhs.gov/foia
U.S. Department of Homeland Security	www.dhs.gov/freedom-information-act-and-privacy-act
U.S. Department of Housing and Urban Development	portal.hud.gov/hudportal/HUD?src=/program_offices/administration/foia
U.S. Department of the Interior	www.doi.gov/foia/index.cfm
U.S. Department of Justice	www.justice.gov/oip/
U.S. Department of Labor	www.dol.gov/dol/foia
U.S. Department of State	www.foia.state.gov
U.S. Department of Transportation	www.dot.gov/foia
U.S. Department of the Treasury	www.treasury.gov/foia/Pages/index.aspx

Treasury

U.S. Department of
Veterans Affairs

www.foia.va.gov

U.S. Agency for
International
Development

www.usaid.gov/foia-requests

Environmental
Protection Agency

foiaonline.regulations.gov/foia/action/public/home

General Services
Administration

www.gsa.gov/portal/content/105305

National Aeronautics
and Space
Administration

www.hq.nasa.gov/office/pao/FOIA/agency

National Archives and
Records Administration

www.archives.gov/foia
www.ogis.archives.gov (Federal FOIA Ombudsman)

National Science
Foundation

www.nsf.gov/policies/foia.jsp

Nuclear Regulatory
Commission

www.nrc.gov/reading-rm/foia/foia-privacy.html

Office of the Director
of National Intelligence

<http://dni.gov/index.php/about-this-site/foia>

Office of Personnel
Management

www.opm.gov/efoia

Small Business
Administration

www.sba.gov/about-sba-services/foia

Social Security
Administration

www.socialsecurity.gov/foia

APPENDIX K: INFORMATION RESOURCES MANAGEMENT STRATEGIC PLAN

In accordance with Section 207(f)(1)(A)(iv) of the E-Gov Act, agencies are required to include a direct link to their strategic plan on their website. This appendix provides the URL's for agencies' Information Resources Management strategic plans. These plans encompass activities that occurred in FY 2013. In cases where updated strategic plans are unavailable, this table provides a URL to the most up-to-date plan, and indicates when an updated plan will be available.

Agency	Agency URL(s)
U.S. Department of Agriculture	www.ocio.usda.gov/n_USDA_IT_Strategic_Plan.pdf
U.S. Department of Commerce	max.omb.gov/community/download/attachments/661424815/DOC+Final+Draft+IRM+S
U.S. Department of Defense	dodcio.defense.gov/Portals/0/Documents/Campaign%20Plan%20Summary.pdf
U.S. Department of Education	www.ed.gov/about/reports/annual/ocio/irmstratplan2013.pdf
U.S. Department of Energy	energy.gov/cio/downloads/ocio-strategic-plan
U.S. Department of Health and Human Services	www.hhs.gov/ocio/ea/documents/hhs_irm_strategic_plan_2007_2012.pdf
U.S. Department of Homeland Security	DHS's IRM strategic plan has not yet been publically released. DHS anticipates the strategic plan will be made publically available in February 2014.
U.S. Department of Housing and Urban Development	hudatwork.hud.gov/po/i/stratplan/index.cfm
U.S. Department of the Interior	www.doi.gov/ocio/index.cfm
U.S. Department of Justice	www.justice.gov/jmd/ocio/it-strategic-plan.htm
U.S. Department of Labor	www.dol.gov/oasam/ocio/2013IRM-SP.pdf
U.S. Department of State	www.state.gov/m/irm/rls/c39428.htm
U.S. Department of Transportation	www.dot.gov/cio/docs/IRM_StrategicPlanFY07-2012.pdf

Transportation

U.S. Department of the Treasury Treasury's IRM strategic plan has not yet been publically released. Treasury anticipates the plan will be made publically available in February 2014.

U.S. Department of Veterans Affairs www.ea.oit.va.gov/docs/VA_IRM_Strategic_Plan_5_15_13_for_Publication.pdf

U.S. Agency for International Development www.usaid.gov/sites/default/files/documents/1868/USAID_ITSP_FY2013.pdf

Environmental Protection Agency www.epa.gov/oei/OEI_Strategic_Overview.pdf. EPA anticipates an updated IRM strategic plan will be available sometime in 2014.

General Services Administration www.gsa.gov/graphics/staffoffices/itstrategicplan2012.pdf

National Aeronautics and Space Administration www.nasa.gov/offices/ocio/IRM_Plan.html. NASA anticipates an updated IRM strategic plan will be available sometime in 2014.

National Archives and Records Administration www.archives.gov/about/plans-reports/info-resources

National Science Foundation www.nsf.gov/oirm/dis

Nuclear Regulatory Commission www.nrc.gov/about-nrc/plans-performance.html#it-im
www.nrc.gov/reading-rm/doc-collections/nuregs/staff/sr1908

Office of the Director of National Intelligence N/A

Office of Personnel Management www.opm.gov/strategicplan/index.aspx

Small Business Administration www.sba.gov/sites/default/files/SBA_IT_Strategic_Plan_2012-2016.pdf

Social Security Administration http://www.socialsecurity.gov/irm/IRM_2012.pdf

APPENDIX L: PUBLIC ACCESS TO ELECTRONIC INFORMATION

In accordance with section 207(f)(1)(B) of the E-Gov Act, this appendix provides URL's that contain agency customer service goals and describe activities that assist public users in providing improved access to agency websites and information, aid in the speed of retrieval and relevance of search results, and use of innovative technologies to improve customer service at lower costs.

Agency	Agency URL(s)
U.S. Department of Agriculture	www.usda.gov/documents/usda-customer-service-plan-nov2011.pdf http://www.usda.gov/wps/portal/usda/usdahome?navid=ASK_EXPERT2
U.S. Department of Commerce	open.commerce.gov/news/2011/10/24/departement-commerce-customer-service-plan
U.S. Department of Defense	open.defense.gov/portals/23/Documents/DoD_Customer_Service_Plan.docx
U.S. Department of Education	www.ed.gov/open www2.ed.gov/about/customer-service-plan.pdf www.ed.gov/digitalstrategy
U.S. Department of Energy	energy.gov/downloads/departement-energy-customer-service-plan
U.S. Department of Health and Human Services	www.hhs.gov/open/execorders/customerservice.html
U.S. Department of Homeland Security	www.dhs.gov/dhs-information-quality-standards www.dhs.gov/how-do-i/by-type www.dhs.gov/main-contact-us
U.S. Department of Housing and Urban Development	portal.hud.gov/hudportal/documents/huddoc?id=CustServPlan11292011.pdf portal.hud.gov/hudportal/HUD?src=/Digital_Strategy/report www.usa.gov/webreform/agency-plans/hud.pdf portal.hud.gov/hudportal/HUD?src=/library/bookshelf11 blog.hud.gov/index.php/2012/02/22/taking-steps-to-streamline-and-improve-hud%E2%80%99s-web-presence
U.S. Department of the Interior	www.doi.gov/open/index.cfm www.doi.gov/open/upload/Custom-Service-Plan-DOI-10-23-2011.pdf www.doi.gov/digitalstrategy/index.cfm www.doi.gov/notices_soc.cfm www.doi.gov/ocio/information_management/products.cfm
U.S. Department of Justice	www.justice.gov/open
U.S. Department of Labor	www.dol.gov/open/customer-service-plan.htm www.dol.gov/open

www.dol.gov/dol/aboutdol/content.htm

U.S. Department of State www.state.gov/digitalstrategy
www.state.gov/documents/organization/176165.pdf

U.S. Department of Transportation www.dot.gov/mission/open/dot-customer-service-plan
www.usa.gov/webreform/agency-plans/dot.pdf

U.S. Department of the Treasury www.treasury.gov/open/Documents/Treasury%20Customer%20Service%20Plan%20FINAL.pdf
www.treasury.gov/about/budget-performance/Pages/default.aspx

U.S. Department of Veterans Affairs www.va.gov/OPEN/docs/Customer_Service_Plan_VA_Oct242011.pdf
www.va.gov/bluebutton/

U.S. Agency for International Development transition.usaid.gov/open/USAIDCustomerServicePlan2011-10-26.pdf

Environmental Protection Agency www2.epa.gov/open/read-plan

General Services Administration search.usa.gov

National Aeronautics and Space Administration www.nasa.gov/pdf/598263main_NASA%20Customer%20Service%20Plan.pdf
www.nasa.gov/open/index.html
www.nasa.gov/about/contact/information_inventories_schedules.html
science.nasa.gov

National Archives and Records Administration www.archives.gov/about/customer-service
www.archives.gov/digitalstrategy
www.archives.gov/open
www.archives.gov/developers

National Science Foundation nsf.gov/open
www.nsf.gov/digitalstrategy
www.nsf.gov/policies/egov_inventory.jsp

Nuclear Regulatory Commission www.nrc.gov/public-involve/open/customer-service/nrc-customer-service-plan.pdf
www.nrc.gov/public-involve/open/cio-council-reform-initiative.html
www.nrc.gov/public-involve/open/digital-government.html
www.nrc.gov/public-involve/open.html
www.nrc.gov/site-help/search.cfm
www.nrc.gov/site-help/site-map.html
www.nrc.gov/site-help/plugin-ins/browse-aloud.html

Office of the Director of National Intelligence <http://icontherecord.tumblr.com>

Office of Personnel Management www.opm.gov/publications/2012-customer-service-plan.pdf

Small Business Administration www.sba.gov/sites/default/files/SBA%20Customer%20Service%20Plan.pdf

Social Security Administration www.socialsecurity.gov/open/customerserviceplan

APPENDIX M: RESEARCH AND DEVELOPMENT

Section 207(g) of the E-Gov Act requires the development and maintenance of a government-wide repository and website containing information about research and development (R&D) funded by the Federal government. The FY 2004 E-Gov Act Report to Congress described two Federally funded repositories for research and development information, developed in accordance with the E-Gov Act: RaDiUS (previously available on radius.rand.org) and www.Science.gov. The intent of RaDiUS was to provide the public and Federal agencies with information about Federally funded research and development activities and opportunities. Similarly, the intent of www.Science.gov was to provide links to science websites and scientific databases providing the public with access to the results of Federal research.

While www.Science.gov remains active, the RaDiUS database was decommissioned in 2008. The Office of Science and Technology Policy (OSTP) developed another resource, known as the *R&D Dashboard*, in 2012 to fulfill the requirements of the E-Gov Act. As described in the *OSTP Open Government Plan*, the R&D Dashboard enables the public to track, visualize, and analyze R&D spending data. The current R&D Dashboard is a beta site, with information from two agencies - the National Institutes of Health, and the National Science Foundation. OSTP plans to expand the R&D Dashboard to include information from other Federal agencies. However, given current fiscal constraints, plans to expand the R&D Dashboard have been put on hold indefinitely. OSTP will also continue to evaluate other options, including the *STAR METRICS project*, a Federal and research collaboration to create a repository of data and tool that help assess the impact of Federal R&D investments.

Because a R&D repository and website is unavailable at this time, this appendix provides URL's for publically accessible information related to R&D activities and/or the results of Federal research. For agencies that do not fund R&D activities, the table shows "N/A."

Agency	Agency URL(s)
U.S. Department of Agriculture	www.fs.fed.us/research www.nal.usda.gov/research-and-technology/research-and-development cris.nifa.usda.gov
U.S. Department of Commerce	ocio.os.doc.gov/ITPolicyandPrograms/E-Government/PROD01_003924
U.S. Department of Defense	www.dtic.mil/dtic/stresources/index.html www.dtic.mil/descriptivesum www.dod.mil/comptroller
U.S. Department of Education	ies.ed.gov nces.ed.gov
U.S. Department of Energy	www.osti.gov www.osti.gov/energycitations www.osti.gov/bridge www.osti.gov/doepatents www.osti.gov/accomplishments www.osti.gov/dataexplorer www.osti.gov/sciencecinema

	www.scienceaccelerator.gov www.science.gov
U.S. Department of Health and Human Services	taggs.hhs.gov/index.cfm publicaccess.nih.gov/policy.htm report.nih.gov/index.aspx
U.S. Department of Homeland Security	www.safecomprogram.gov/default.aspx www.dhs.gov/directorate-science-and-technology
U.S. Department of Housing and Urban Development	www.huduser.org
U.S. Department of the Interior	http://www.doi.gov/ocio/information_management/research.cfm
U.S. Department of Justice	www.nij.gov/ nij.gov/topics/forensics/evidence/dna/research/pages/welcome.aspx www.bja.gov/funding.aspx www.ojjdp.gov/funding/FundingList.asp it.ojp.gov/default.aspx?area=policyAndPractice&page=1250 www.ojp.usdoj.gov/programs/research_stats.htm www.ncjrs.gov www.smart.gov/funding.htm
U.S. Department of Labor	www.doleta.gov/research/ www.dol.gov/asp/evaluation/ www.dol.gov/asp/programs/REIDL/index.htm
U.S. Department of State	N/A
U.S. Department of Transportation	www.faa.gov/data_research/research www.fhwa.dot.gov/research www.tfhrc.gov/research www.fra.dot.gov/Page/P0019 www.fta.dot.gov/about/12351.html www.marad.dot.gov/environment_safety_landing_page/maritime_safety/rnd_act/rnd_act.htm www.nhtsa.gov/Driving+Safety/Research+&+Evaluation www.phmsa.dot.gov/initiatives/r-and-d
U.S. Department of the Treasury	N/A
U.S. Department of Veterans Affairs	www.research.va.gov www.cider.research.va.gov www.hsrp.research.va.gov www.rehab.research.va.gov

U.S. Agency for International Development	www.usaid.gov/news-information/press-releases/usaid-and-nih-announce-16-new-health-research-projects www.usaid.gov/climate
Environmental Protection Agency	www.epa.gov/research cfpub.epa.gov/si ofmpub.epa.gov/sor_internet/registry/systemreg/home/overview/home.do www.epa.gov/crem/knowledge/index.htm yosemite.epa.gov/ee/epa/eed.nsf/webpages/homepage www.epa.gov/osa/fem/methcollectns.htm www.epa.gov/ncea/iris/index.html www.epa.gov/nscep www.epa.gov/ttn/direct.html epa.gov/otaq/models www.epa.gov/air/airtrends/studies.html www2.epa.gov/cleanups/cleanup-science-and-technology www.epa.gov/superfund/remedytech/ water.epa.gov/scitech www.epa.gov/ncer www2.epa.gov/science-and-technology www.epa.gov/research/mmttd
General Services Administration	N/A
National Aeronautics and Space Administration	ntrs.nasa.gov www.sti.nasa.gov
National Archives and Records Administration	www.archives.gov/applied-research www.facebook.com/NARACAST perpos.gtri.gatech.edu isda.ncsa.illinois.edu/drupal/project/census isda.ncsa.illinois.edu/drupal/project/nara isda.ncsa.illinois.edu/drupal/software/CSR isda.ncsa.illinois.edu/NARA/CSR/php/search/conversions.php isda.ncsa.illinois.edu/drupal/software/polyglot isda.ncsa.illinois.edu/drupal/software/Software%20Servers isda.ncsa.illinois.edu/drupal/software/Versus www.xsede.org/best-of-xsede13 www.ncsa.illinois.edu/News/Stories/ImageMiners ci-ber.blogspot.com/p/about-ci-ber.html www.slideshare.net/richardjmarciano/a-system-for-scalable-visualization-of-geographic-archival-records www.tacc.utexas.edu/news/feature-stories/2013/hip-hip-hadoop www.nagara.org/associations/5924/files/Exercises%20in%20Marchine%20Learning%20as%20a%20Tool%20for%20Archivists%20and%20Records%20Managers.pdf quipu.psc.teragrid.org/slash2

National Science Foundation	www.nsf.gov/recovery www.research.gov rd-dashboard.nitrd.gov
Nuclear Regulatory Commission	www.nrc.gov/about-nrc/regulatory/research.html www.nrc.gov/reading-rm/doc-collections/nuregs/staff/sr1925 www.nrc.gov/reading-rm/doc-collections/nuregs/contract/index.html www.nrc.gov/about-nrc/contracting.html www.nrc.gov/about-nrc/contracting/forecast.html www.nrc.gov/about-nrc/contracting/forecast/commercial-contracts.xls www.nrc.gov/reading-rm/doc-collections/fedreg/notices www.nrc.gov/public-involve/doc-comment.html www.ntis.gov/products/fedrip.aspx
Office of the Director of National Intelligence	www.fbo.gov www.iarpa.gov
Office of Personnel Management	N/A
Small Business Administration	www.sba.gov/advo/research www.sba.gov/aboutsba/sbaprograms/sbir/index.html
Social Security Administration	www.socialsecurity.gov/policy/rrc/index.html www.socialsecurity.gov/policy/drc/index.html www.socialsecurity.gov/retirementpolicy/index.html www.socialsecurity.gov/policy/index.html www.socialsecurity.gov/policy/docs/contractreports/index.html www.socialsecurity.gov/disabilityresearch/index.html

APPENDIX N: PRIVACY POLICY AND PRIVACY IMPACT ASSESSMENTS

Section 208(b) of the E-Gov Act requires agencies to conduct a privacy impact assessment; ensure the review of the privacy impact assessment by the Chief Information Officer, or equivalent official, as determined by the head of the agency; and if practicable, after completion of the review under clause, make the privacy impact assessment publicly available through the website of the agency, publication in the Federal Register, or other means. This appendix provides information regarding each agency's work in this area, and the URL's for agency privacy policies and privacy impact assessments.

Department of Agriculture

In FY 2013, USDA continued its social security number/tax identification number (SSN/TIN) elimination, encryption, and masking effort. USDA realized a slight decrease in the number of systems reported elimination, reducing, and masking of SSN/TIN, the number decreased to 89%. The Privacy Office also initiated two subcommittees to address key privacy issues:

1. The USDA Privacy Subcommittee on National Institute of Standards and Technology's Special Publication 800-53, Revision 4, Appendix J Privacy Controls - Currently identifying privacy controls that can be internally tested and implemented by agencies in FY 2014 and implemented.
2. Working Group - Developing a proactive strategy of reducing personally identifiable information (PII) incidents within USDA. Also investigating the use of a commercial off the shelf data loss protection tool that the department procured and updating a strategic plan to include refining alerts, customizing policy for USDA environment, modifying severity classifications, establishing escalation levels, and developing ad hoc reports.

The Privacy Office also updated various privacy templates and instructions: Privacy Threshold Analysis (PTA); Privacy Impact Assessments (PIA); Computer Matching Agreements (CMA); and System of Records Notice Checklist. Agencies must review systems privacy documentation annually and provide a certification statement to validate reviews. The Federal Information Security Management Act (FISMA) Score Card is also conducted on a monthly basis, which includes compliance of privacy documentation.

Additionally, the Privacy Office implemented FY 2012 PII Training Module which could be used as role based, specialized training for certain employees (i.e. Privacy Officers, Information System Security Program Managers, etc.). The training provides an overview of privacy requirements defined by laws and guidelines which also includes privacy documentation. The Privacy Office also facilitated the development of a PII training module recommended to all users, PII "Lite" Course which launched in October 2013.

Finally, the Privacy Office is in the process of updating the USDA Privacy and PII Policy which is currently going through formal review. The new policy will require all USDA IT systems to have a PTA, conduct an annual review of privacy documentation to support continuous monitoring, public display of PIA(s) on the department's webpage, incorporate privacy documents in the early stages of the system development life cycle, and provide instructions on safeguarding PII for physical transport.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.usda.gov/wps/portal/usda/usdahome?navtype=FT&navid=PRIVACY_POLICY
www.usda.gov/wps/portal/usda/usdahome?navid=PRIVACY_POLICY_ES

Department of Commerce

In FY 2013, DOC revised the PIA template in an effort to enhance the quality of the PIAs. In addition, the PIA process was modified to improve customer service. When new IT systems are procured that collect, maintain, or disseminate PII, the system owner and/or bureau Information Systems Security Officer completes a Privacy Threshold Analysis in accordance with the department's Privacy Policy. If it is determined that a PIA is necessary for a new IT system, or a PIA needs to be updated for an existing IT system, the system owner and/or bureau Information Systems Security Officer completes a PIA and submits it to the bureau privacy officer (BPO) or designee. Once reviewed by the BPO or designee, the PIA is forwarded to the OCIO for review of the IT security controls, and to the Privacy Program Coordinator in the Office of Privacy and Open Government for review of the privacy controls simultaneously. Once the review process is complete, the PIA is forwarded to the Chief Privacy Officer for review and approval. If the PIA is approved, the PIA is forwarded to the appropriate office for posting to the website.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

ocio.os.doc.gov/ITPolicyandPrograms/IT_Privacy/DEV01_002682
ocio.os.doc.gov/ITPolicyandPrograms/IT_Privacy/dev01_003746

Department of Defense

The Defense Privacy and Civil Liberties Office (DPCLCLO) works with the DOD CIO to ensure DOD meets OMB privacy compliance requirements for completion of, and updates to Systems of Record Notice (SORNs) and PIAs. The DPCLCLO and CIO collaborate on Federal Information Security Management Act quarterly and annual reporting, which includes reviews of SORNS and PIAs compliance across DOD. The DOD IT PIA program protects the privacy of individuals by systematically ensuring controls are in place to protect data, assessing and minimizing vulnerabilities of DOD information systems containing PII. The PIA Program:

- Establishes PIA policy, DODI 5400.16 "DOD Privacy Impact Assessment Guidance," and procedures to reflect current and new emerging requirements;
- Ensures PIAs are conducted on all electronic collections of PII and adequate controls are in place to protect public and Federal employees' PII;
- Provides continuous outreach, training and education to Components to assist with establishing and maintaining PIA programs that increase the completion rate of PIAs in compliance with the law.

PIAs are required to be performed and updated as necessary whenever a system change creates new privacy risks including, but not limited to, significant system management changes, new public access, conversion from paper-based records to electronic systems and significant merging. PIAs must be reevaluated every three years to ensure any changes to the system that could impact privacy are reviewed

and updated as part of the certification and accreditation process.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

[dpclo.defense.gov/privacy/About The Office/policy_guidance.html](http://dpclo.defense.gov/privacy/About%20The%20Office/policy_guidance.html)
[dodcio.defense.gov/Home/Issuances/DoDCIOPrivacyImpactAssessments\(PIAs\)/DoDComponentPrivacyImpactAssessments.aspx](http://dodcio.defense.gov/Home/Issuances/DoDCIOPrivacyImpactAssessments(PIAs)/DoDComponentPrivacyImpactAssessments.aspx)

Department of Education

The Privacy and Information Clearance Collection Division (PICCD) is responsible for ensuring ED adheres to OMB guidance about the use of IT to collect, maintain, or disseminate identifiable information from or about members of the public. PICCD works with the system owner (SO) and the Information Systems Security Officer (ISSO) to conduct a PIA and post it to www.ED.gov when ED develops or procures such a system, or when a Paperwork Reduction Act collection is initiated. If changes to an existing system create new privacy risks, PICCD will initiate or update a PIA with the SO. ED also meets the requirement of posting privacy policies on its public websites. When a new public website is developed, PICCD works with the project lead and the ISSO to develop and post a privacy policy addressing all required elements from OMB directives. To determine the necessary privacy documentation, PICCD provides the SO with a Privacy Threshold Analysis (PTA) to complete. If the PTA shows no PII, the process is complete. If a PIA is necessary, PICCD provides the SO with the PIA template, which the SO completes, consulting with the ISSO as needed. PICCD then collaborates with the Office of the Chief Information Officer, the Office of General Counsel, and the Records and Documents Management Division to address any issues. Changes are communicated with the SO, who updates the PIA, collects internal signatures, and returns the final draft to PICCD. Systems with social security numbers require additional high-level approval. The Chief Privacy Officer signs the document, and it is posted to www.ED.gov.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.ed.gov/notices/privacy/index.html
www.ed.gov/notices/pia/index.html

Department of Energy

DOE has three main documents related to privacy compliance for automated collections of PII, Privacy Needs Assessment (PNA), PIA, and SORN. While each of these documents has a distinct function to ensure adherence with protection guidelines pertaining to automated collections of PII, together these documents further the transparency of DOE activities and convey accountability. DOE Directive 206.1, "Department of Energy Privacy Program," provides the procedural requirements for each document and establishes roles and responsibilities associated with the completion and updating of these documents.¹¹

The PNA is the first document program elements complete to assess whether an automated system will collect and maintain PII. This threshold assessment determines if additional compliance

documentation such as PIA or SORN is required. The PIA, an important tool DOE uses to examine privacy risks associated with automated collections of PII, is required when IT systems contain PII. The PIA addresses critical areas such as the authority for PII collections, the scope of information collected, the use of PII collected, information security, Privacy Act SORN applicability, and information sharing. The PIA serves to reinforce early consideration of ways to enhance PII protection by including privacy in early stages of system development. If the PIA analysis concludes a SORN is required, a SORN is prepared and published in the Federal Register.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

energy.gov/cio/office-chief-information-officer/services/guidance/privacy
energy.gov/cio/office-chief-information-officer/services/guidance/privacy/impact-assessments

Department of Health and Human Services

The department's privacy policy, policy for system security and privacy, and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.hhs.gov/Privacy.html
www.hhs.gov/ocio/policy/hhs-ocio-2011-0003.html
www.hhs.gov/pia

Department of Homeland Security

The DHS Privacy Office provides extensive guidance on the use of personally identifiable information, including DHS policies on when and how to conduct a PIA and SORN. DHS requires that all new and existing IT systems conduct a PTA, performed by the program manager and validated by the DHS Privacy Office prior to security authorization. More information can be obtained at www.dhs.gov/privacy under "Privacy Compliance."

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.dhs.gov/privacy-office-privacy-impact-assessments-pia
www.dhs.gov/privacy-policy

Department of Housing and Urban Development

HUD requires Program Offices to prepare PIAs for new IT systems; new information collection requests; and existing systems when significant modifications involving personal information on members on the public or where significant system changes create a new privacy risk. PIAs are living documents that must be updated as the HUD program and system are changed or updated. The PIAs analyze and describe the answers regarding the type of information to be collected, why the information is being collected, the intended use of the information, with whom the information will be shared, the

opportunities individuals have to decline or consent to providing information, and how the information will be secured. Prior to drafting a PIA, Program Offices must contact the Privacy Office to discuss appropriate steps, and to coordinate E-Government Act efforts. The Program Office submits the draft PIA document to the Privacy Office which reviews all PIAs and provides feedback to the Program Office. Once PIAs are signed by the Privacy Officer, the Privacy Office publishes the PIA for access by the general public at: portal.hud.gov/hudportal/HUD?src=/program_offices/cio/privacy/pia/piachrt

Approved PIA's that may contain sensitive information may be exempt from the publication requirement at the discretion of HUD's Privacy Officer. The results of the PIA will be recorded in the PII Inventory for use later in meeting OMB or HUD reporting requirements.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

portal.hud.gov/hudportal/HUD?src=/program_offices/cio/privacy/pia/piachrt
portal.hud.gov/hudportal/HUD?src=/program_offices/cio/privacy

Department of the Interior

DOI is committed to protecting individual privacy and promoting a culture of privacy compliance. To balance the potential risk to privacy against the need to fulfill DOI's mission, DOI implemented policies and controls for the protection of sensitive information. These policies and controls ensure that agency PII is only accessed by authorized personnel, and increases accountability for individuals with responsibilities related to safeguarding sensitive information. The DOI privacy policy is focused on ensuring appropriate safeguards to protect PII and the confidentiality, integrity and availability of information privacy. DOI uses operational controls and privacy enhancing technologies, such as data loss prevention software, encryption, firewalls, authorized use system access controls, and system audit logs; and has effectively reduced the risk of compromise of sensitive PII in agency communications by implementing a Data Loss Prevention (DLP) solution, that monitors network communications and prevents sensitive PII from leaving the network. In addition to these technical controls, DOI utilizes administrative policies and procedures, as well as privacy training, to further safeguard information privacy and control access to information systems and information assets. The DOI PIA Guide includes a PIA template and guidance on conducting PIAs. DOI conducts PIAs on all information systems, third-party websites and social media applications to ensure privacy implications are addressed when planning, developing, implementing, and operating information systems that maintain information on individuals. DOI privacy office personnel collaborate with system owners and IT security to assess new or proposed programs, systems or applications for privacy risks, and recommend methods to protect individual privacy.

As part of the DOI PIA compliance review cycle, PIAs are updated whenever changes occur to the information system or process, or every three years. This ensures privacy implications are addressed during the system life cycle, and demonstrates that the agency has evaluated privacy risks and incorporated protections commensurate with those risks to safeguard the privacy of personal information. The DOI PIA Guide also provides guidance for completing PIAs to ensure that PII is only collected as authorized, that system of records notice requirements are met, and that appropriate security controls are implemented to protect and manage access to PII within DOI information systems. DOI maintains an inventory of PIAs within the Cybersecurity Assessment and Management (CSAM) system, the department's official information system repository. This centralized repository allows the DOI Privacy Office to conduct regular reviews of bureau and office PIA inventories, identify and correct PIA

deficiencies, as well as assess compliance with privacy laws, policies and standards. This provides for an efficient PIA review process, and facilitates management of PIAs for new and existing information systems.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.doi.gov/privacy.cfm

www.doi.gov/ocio/information_assurance/privacy/ppia.cfm

Department of Justice

DOJ's privacy compliance process begins with an Initial Privacy Assessment (IPA), which allows the department's components to streamline the assessment of information privacy issues associated with all systems and programs that involve the collection and storage of PII. Through the IPA process, which is incorporated into the department's IT security framework, the department reviews IT systems that contain PII and/or information in identifiable form to determine whether the privacy requirements under the E-Government Act apply. If the privacy requirements apply to the IT system, the department requires a full PIA be conducted for the system to ensure that system developers and owners have made technological and operational policy choices that incorporate privacy protections into the underlying architecture and operational processes of the system. In addition, if the IT system is modified during its operational life cycle, and the modifications impact the technology associated with privacy of information maintained in the system, a subsequent IPA must be conducted to determine again whether additional privacy requirements and considerations must be applied to the modified system, and a PIA update may be required.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.justice.gov/privacy-file.htm

www.justice.gov/opcl/pia.htm

Department of Labor

DOL is committed to safeguarding and protecting PII for members of the public, Federal employees and contractors. The privacy policy states that DOL does not collect PII when individuals visit the DOL site unless the information is provided on a voluntary basis. The Privacy Notice also stipulates the reasons why DOL collects PII, and what it will do with the information collected. All major information systems are required to complete an annual PIA process and document the results in DOL's Cybersecurity Assessment and Management (CSAM) tool. The DOL PIA process requires all systems to first undergo an initial screening review to determine if the system meets the pre-requisite criteria requiring the completion of the full PIA questionnaire. If a PIA is not required the process is complete and there is no further action until the anniversary date. If a PIA is required, the PIA questionnaire is completed by the agency, and submitted to the OCIO for review and approval. Once approved, the PIA questionnaire is signed by the agency official and maintained in CSAM. Within 30 days of approval, the PIA is redacted for public consumption and posted online.

The department's privacy policy and privacy impact assessments are available at the following

URL's:

Agency URL(s)

www.dol.gov/dol/privacynotice.htm

www.dol.gov/oasam/ocio/programs/pia/mainpia.htm

Department of State

Protecting PII is one of State's top priorities. State's Privacy Program mission is "to comply with federal privacy mandates, promote awareness, and build public trust by implementing best practices." One of the program's responsibilities is to ensure that all department IT systems meet the requirements of the E-Government Act of 2002. Through increased outreach and awareness to its stakeholders, the program has been able to achieve its mission. The Privacy Program advises systems owners on questions regarding PIA's and SORN's, and serves as the approving authority for all PIA's and SORN's. In FY 2013, the Privacy Program published a revised version of the PIA Guide and Template providing guidance to system owners ensuring that privacy implications are addressed when planning, developing, implementing, and operating IT systems that collect and maintain PII. State's PIAs and SORNs are available at: foia.state.gov/Learn/PIA.aspx and foia.state.gov/Learn/SORN.aspx.

In collaboration with the Office of Information Assurance in the Bureau of Information Resource Management, the Privacy Program Division in the Bureau of Administration has increased its visibility in the area of certification and accreditation of IT systems. Both organizations have established a workflow that ensures privacy and security requirements for IT systems are integrated throughout the lifecycle of a system. This collaboration has helped the department achieve and maintain compliance with the requirements of the E-Government Act of 2002 and its reporting requirements. Additionally, the department reported 99 percent compliance rates for PIA's and SORN's for FISMA purposes in this reporting period.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.state.gov/misc/415.htm

www.state.gov/m/a/ips/c24223.htm

Department of Transportation

DOT is committed to protecting the safety of all data used in the system development lifecycle, but is especially aware of the risks associated with the collection, use, storage and sharing of PII. It is vitally important that DOT not only protect this information, but that individuals are able to control the collection, use and sharing of PII within DOT systems. DOT focuses on incorporating proactive risk management into every stage of system development. Risk management improves compliance with data privacy policies by raising awareness among employees and leadership regarding the standards for data safety. It institutes frameworks for training, compliance assessment, and vulnerability repair. Overall, it improves safety and security by reducing the possibility of errors that could lead to a privacy breach. The DOT Chief Privacy Officer (CPO) has operational responsibility for the department's privacy program and establishes policy and procedure for conducting PIA's and other privacy risk management activities. DOT Operating Administrations (OAs) in consultation with business and systems owners are responsible for preparing PIA's and submitting to the DOT CPO for approval and posting on the DOT privacy website (www.dot.gov/privacy). OAs are responsible for ensuring on-going compliance with the

commitments made in their PIAs.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.dot.gov/individuals/privacy/privacy-policy
www.dot.gov/individuals/privacy/privacy-impact-assessments

Department of the Treasury

Treasury has an established commitment to information privacy and civil liberties which is reflected in a number of concrete ways. During FY 2013, the Department's Office of Privacy, Transparency, and Records (OPTR) took steps to further enhance its privacy and civil liberties program. This included updating and revising the department's PIA guidance, and a complete revision of the PIA template. The purpose of this effort is to revise the template so that it provides more detail in assessing the privacy risks that may exist in an information system containing PII. In addition, to facilitate the review, comment, and approval of PIAs, OPTR lead the successful development and deployment the Privacy Clearance Tracker (PCT) on SharePoint. This application gives Treasury and its bureaus the capability to upload PIAs in draft, identify the necessary reviewers to obtain comments, and then expedite the final clearance and approval process. One of the principal objectives of this effort, in concert with the revision of the PIA template, was to bring a measure of standardization to the PIA process at Treasury. OPTR routinely provides guidance to Treasury's bureaus regarding the preparation and completion of PIAs. The aforementioned actions are intended to strengthen OPTR oversight of the PIA process and in so doing create a program that may become a government-wide best practice.

The department has 311 systems which contain PII. As of September 30, 2013, all 244 systems that are required to complete a PIA have met this requirement. Of the 311 systems in the inventory, 288 are required to have a SORN, and 100% of these had a SORN. Treasury's PIAs and SORNs may be viewed at www.treasury.gov/privacy/PIAs/Pages/default.aspx and www.treasury.gov/privacy/issuances/Pages/default.aspx#TREASURY.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.treasury.gov/SitePolicies/Pages/privacy.aspx
www.treasury.gov/privacy/PIAs/Pages/default.aspx
www.treasury.gov/privacy/issuances/Pages/default.aspx#TREASURY

Department of Veterans Affairs

The VA Privacy Service is responsible for overseeing, directing and establishing the long and short-term goals for VA's Enterprise Privacy Program. As the impact of privacy issues increases, the Privacy Service identifies privacy needs and implements strategies to meet those needs. The Privacy Service advises senior officials concerning data management and the feasibility of the department's privacy priorities and implementation plans, and works to ensure compliance with Federal and VA-specific privacy requirements. Also, the Privacy Service also ensures the attainment of department-wide privacy objectives in the overall VA planning, programming, and budgeting process. The VA Privacy Service is focusing its attention on reducing the use of Social Security numbers in VA

systems and programs, where feasible, to professionalize VA privacy officers, and to develop an integrated, comprehensive, and enterprise-wide management of privacy-relevant data, processes, and business operations.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.va.gov/privacy

www.privacy.va.gov/privacy_impact_assessment.asp

www1.va.gov/vapubs/viewPublication.asp?Pub_ID=3D404&FType=3D2

www1.va.gov/vapubs/viewPublication.asp?Pub_ID=3D414&FType=3D2

U.S. Agency for International Development

USAID's Automated Directives System (ADS) details the policy directives and required procedures of the USAID Privacy Policy Program. The policy addresses USAID's policy requirements for the creation and maintenance of PIA statement documents. Information handling practices include both manual processes, and automated technology processes implemented by USAID. When conducting a PIA, a Chief Privacy Officer (CPO) representative may assist System Owners to identify PII data elements contained within the system; risks to PII that may arise from the electronic collection and maintenance of such data; sharing of PII data elements with other departments or agencies; and the physical security of the environment where PII is processed.

System Owners are responsible for conducting or updating the system of record's PIA for every electronic information system and manual information collection system. The Privacy Office staff will assist System Owners in this identification process. System Owners are also responsible for conducting or updating the system of record's PIA before developing, procuring, or initiating IT systems that provide for the electronic collection of information from ten or more persons (excluding federal agencies or employees), when the system changes or creates a new privacy risk, and when other factors affecting the collection and handling of PII, information collection authorities, or business processes change. System Owners are responsible for conducting or updating the system of record's PIA once every three years for existing systems.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

transition.usaid.gov/policy/egov/pia.html

inside.usaid.gov/ADS/500/508.pdf

Environmental Protection Agency

A PTA is required as soon as a system has been categorized. The system owner conducts a PTA prior to initiating a PIA. The PTA will identify if the system collects PII elements. If so, a PIA is required to evaluate the privacy risks to the individuals. When required, the PIA is developed immediately after the PTA finding. A PIA is required for any new system that collects, maintains, or disseminates PII from or about members of the public as required by the E-Government Act of 2002. (OMB Memorandum M-07-16 recommends that agencies provide the same privacy protections to

information about its employees.) Accordingly, EPA requires PIAs on systems that collect PII on Agency employees. The PIA should be initiated during the definition phase of the system life cycle phase and updated in each phase of the life cycle until the operation and maintenance phase when the final PIA should be submitted reflecting the current state of the system. An updated PIA is required when there is a significant system modification or where changes have been made to the system that may create a new privacy risk. A PIA is required for an information collection that is both new and an electronic collection for ten or more individuals who are not employees of the Federal government.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.epa.gov/privacy/policy/2151/index.htm

www.epa.gov/privacy/assess/index.htm

General Services Administration

GSA's Privacy Office collaborates with the Senior Agency Information Security Officer (SAISO) to ensure that PII is collected, maintained, or disseminated in adherence with privacy laws and OMB guidance. The GSA IT Security Policy requires annual privacy awareness training for all employees and contractors so they are aware of how to handle and protect PII and instructs individuals to encrypt outgoing email attachments that contain Social Security Numbers. Those attachments that aren't encrypted are blocked from transmission. The IT Security Policy also requires PIAs to be a part of the certification and accreditation process and reviewed annually. GSA also has a policy regarding rules of behavior for handling PII, a data release policy which explains what information is and is not suitable for FOIA release, and an information breach notification policy which explains what process should be followed in the event of an information breach.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.gsa.gov/portal/content/102237

www.gsa.gov/graphics/staffoffices/1878_2B_GSA_PIA_Policy.docx

National Aeronautics and Space Administration

It is NASA policy to protect privacy information that is collected, used, maintained, and disseminated by the Agency. NASA's protections for privacy information shall be compliant with requirements outlined in the Privacy Act of 1974 and amendments, and in other Federal statutes and guidance including the E-Government Act of 2002, the Children's Online Privacy Protection Act (COPPA), the Health Insurance Portability and Accountability Act and OMB memoranda and circulars. These laws and regulations restrict disclosure of records containing privacy information, grant individuals rights of access and to request an amendment to agency records pertaining to themselves, and require agencies to comply with statutes for the collection, maintenance, and dissemination of records containing privacy information. Collection, maintenance, use, and dissemination of privacy information for both electronic mechanisms and for non-electronic media shall be in compliance with the Federal statutes and guidance. Adherence to all Federal laws, statutes and guidance is ensured through NASA's procedural requirements which require Information Privacy Threshold Analysis (IPTAs) on all applications, systems and websites. IPTAs are accomplished through the internally developed, enterprise-wide electronic

Privacy and CUI Assessment Tool (PCAT), resulting in a completed PIA when required. Managed by the Privacy Program Manager, PCAT is designed specifically to automate all aspects of compliance when IIF or PII is identified and aids in breaking out the applicable requirements modularly, so that information owners can appropriately and efficiently make their way through all of the required steps to reach compliance.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.nasa.gov/about/highlights/HP_Privacy.html

www.nasa.gov/privacy/PIA.html

nodis3.gsfc.nasa.gov/displayDir.cfm?t=NPD&c=1382&s=17H

National Archives and Records Administration

NARA's Senior Agency Official for Privacy is the General Counsel. Staff within that office are responsible for managing the privacy program. This ensures the privacy program staff has access to senior management officials and is abreast of the agency's large IT acquisitions and policy direction. For each IT system the agency procures, the Privacy Program staff receives information about what, if any, PII will be collected. If PII is collected, the staff and program office complete a PIA and, if the Privacy Act requires, update existing or create new SORN. Two NARA internal policies cover this process.

The Privacy Program staff asks each system owner to review the PIA for their system on an annual basis to update it or confirm that no changes have been made to the system in the previous year. Staff responsible for public-facing social media outlets, including Facebook, Tumblr, Twitter, Ideascale, and others, must review social media specific PIAs. NARA's internal policies also require that any time an office initiates a new information collection, updates, or renews a form covered by the Paperwork Reduction Act, Privacy Program staff review what information is collected and complete the notice statement required by the Privacy Act. For all IT systems hosted, maintained, or accessed by contractors that contain PII, each contract includes the standard Federal Acquisition Regulation clauses for Privacy Act systems and a NARA standard clause on the protection of PII.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.archives.gov/global-pages/privacy.html

www.archives.gov/foia/privacy-program/privacy-impact-assessments

National Science Foundation

NSF recognizes the importance of protecting the privacy of PII in IT systems. NSF's goals in this regard are to ensure personal information in electronic form is only acquired and maintained when necessary, and that IT systems developed and used in support of the foundations' work to protect and preserve the privacy of NSF staff and the public. NSF uses PIAs to explain how the agency addresses privacy issues when developing new or altering IT systems or projects that collect, maintain, or disseminate information in identifiable form from or about members of the public. Privacy issues are considered for all systems and collections that involve information in identifiable form. NSF's PIAs and Privacy Act SORN's are available on the agency's public-facing website. NSF also conducts an annual

review of Privacy Act PII holdings. The review of PII includes all forms, including paper and electronic formats, in any information system. As part of the review, NSF will validate or revalidate the need for its personally identifiable information holdings.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.nsf.gov/policies/privacy.jsp

www.nsf.gov/policies/pia.jsp

Nuclear Regulatory Commission

The NRC website prominently features their Privacy Policy and Security Notice, which addresses automatic collection and storage of information. In addition, information about OMB Clearance packages for voluntary or mandatory requests for reports, information, or recordkeeping is available at:

www.nrc.gov/public-involve/doc-comment/omb. The NRC Privacy Policy and Security Notice also address the use and privacy of information submitted, protection of submitted information from public disclosure, children's privacy, use of cookies and social media, security, and linking to other websites. It also describes our use of web measurement and customization techniques for our site satisfaction survey.

In addition, our Privacy Policy and Security Notice address the performance of PIAs for electronic information systems and collections. PIAs are an integral part of the development process for new IT systems, or the enhancement or modification of existing systems. The PIA has become one of many critical elements of the NRC's CPIC process. A PIA must be completed and approved before a business case will be approved under the NRC's Project Management Methodology (PMM). The PIA is an essential part of the "Capital Asset Plan and Business Case." A PIA manual and template assist sponsoring offices in submitting their PIAs. This process requires the involvement of subject matter experts from IT, privacy, records management, information collections, and other programs. The sponsoring offices must also update their PIAs to reflect current information collection authorities, business processes, or other factors affecting the collection and handling of information in identifiable form. Completing a PIA ensures that system owners and developers consider and evaluate existing statutory and key information management requirements that must be applied to new or modified government systems that contain information about individuals. Applying the PIA process also helps to identify sensitive systems so that appropriate information assurance measures are in place.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.nrc.gov/site-help/privacy.html

www.nrc.gov/site-help/plans/privacy-impact-assess.html

www.nrc.gov/reading-rm/foia/privacy-systems.html

Office of the Director of National Intelligence

All IT requirements for the ODNI are vetted through an IT Project Management Review Board, consisting of stakeholders from across the ODNI to include from the Civil Liberties and Privacy Office (CLPO). Before ODNI IT requirements are approved, the developers and system owners work with CLPO to ensure privacy protections and safeguards are incorporated as part of the system design and data

lifecycle. The ODNI does not conduct privacy impact assessment on national security systems which involve the conduct of intelligence activities, as defined by Executive Order 12333. The ODNI has, however, conducted privacy impact assessments for the agency's use of third-party social media websites and applications to engage with the public and in support of the Open Government Directive.

Agency URL(s)

<http://www.dni.gov/index.php/about-this-site/privacy-policy>

Office of Personnel Management

To document OPM's compliance pertaining to the use of IT to collect, maintain, or disseminate identifiable information, or when new systems are procured for this purpose with information privacy laws, regulations, and policies, OPM has published the "Information Security and Privacy Policy," "System of Records Notice Guide," "Privacy Impact Assessment Guide," and "Process for Analyzing New and Emerging Information Security and Privacy Policy Requirements" policies. These policies, in aggregate, outline the roles, responsibilities, and procedures for all OPM program offices to adhere to when dealing with personally identifiable information. The OPM Senior Agency Official for Privacy incorporated a Privacy Threshold Analysis process for each IT system. This process identifies the privacy implications of each IT system to include implications for collecting information from third party social media websites and determines whether a PIA needs to be conducted. This process is outlined in the PIA guidance published on OPM's internal website, and includes guidance on when to update PIAs for IT.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.opm.gov/information-management/privacy-policy/#url=Web-Privacy-Notice

www.opm.gov/information-management/privacy-policy/#url=Privacy-Impact-Assessments

Small Business Administration

The www.SBA.gov website automatically collects some technical information from each page analytics to the site in order to provide the best possible experience. The website uses web measurement technology (Google Analytics) to automatically track how visitors interact with www.SBA.gov including where they came from, what they did on the site and whether they completed any pre-determined tasks while on the site. This type of usage is classified by the OMB as Tier 2 usage since it is a multi-session web measurement. Aggregate data is used to help SBA improve the user interface and diversify the content offerings to meet the needs of customers, track operational problems, prevent fraud and improve the effectiveness, security and integrity of the site.

SBA only collects and stores technical information to help make the site more useful. SBA uses the information to learn about the number of visitors to the site and the types of technology that visitors use. SBA does not track or record information about individuals and their visits and this data is not with anyone outside the SBA unless required for law enforcement purposes. SBA is committed to protecting the privacy of information that is collected from the public during the course of conducting business. SBA's Privacy Act Procedures policy directs the agency to conduct periodic reviews of how information is handled within SBA when information technology is used to collect information. Compliance with privacy guidance is considered whenever new systems are developed or new systems are acquired. SBA provides detailed guidance on Privacy Act activities at: www.sba.gov/about-sba-services/6752.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.sba.gov/about-sba-info/privacy-policy
www.sba.gov/about-sba-services/7473/13815

Social Security Administration

SSA's use of IT to collect, maintain, or disseminate identifiable information is governed by a mature Systems Process Improvement program that incorporates best practices for software development and standard processes and procedures for ensuring high quality privacy compliance. SSA integrates Enterprise Architecture activities and reflects governance practices throughout the SDLC. Typically, a new software release takes six months from conclusion of the planning and analysis to production. The Office of Privacy and Disclosure is involved during the planning and analysis stage, enabling SSA to conduct initial privacy assessment early in the SDLC. SSA uses the PTA process to assess the privacy risks in new or revised systems or applications and to determine if a PIA or SORN is required, or if updates to existing documents are needed. SSA subsequently approve Project Scope Agreements and Business Process Descriptions associated with the system or application. In FY 2013, SSA continued the practice of training systems development staff on the importance of privacy and privacy risk assessment via the SDLC Configuration Control Board, and reviewed any proposed changes to lifecycle roles, activities, or work products that affect the administration of personal information.

The department's privacy policy and privacy impact assessments are available at the following URL's:

Agency URL(s)

www.socialsecurity.gov/privacy.html
www.socialsecurity.gov/foia/html/pia.htm
www.socialsecurity.gov/gix/privacyinfo.html
www.socialsecurity.gov/OP_Home/cfr20/401/401-0000.htm

APPENDIX O: AGENCY INFORMATION TECHNOLOGY TRAINING PROGRAMS

Section 209(b)(2) of the E-Gov Act requires agencies to establish and operate IT training programs. The act states that such programs shall have curricula covering a broad range of information technology disciplines corresponding to the specific information technology and information resource management needs of the agency involved; be developed and applied according to rigorous standards; and be designed to maximize efficiency, through the use of self-paced courses, online courses, on-the-job training, and the use of remote instructors, wherever such features can be applied without reducing the effectiveness of the training or negatively impacting academic standards. This appendix describes agency training programs for IT workforce.

Department of Agriculture

In FY 2012, USDA piloted the IT Program Management Career Track (PILOT). The PILOT was based on the OPM Competency Model for IT Program Management, which consists of three certification levels. To date, there still remains a requirement to have all program and project managers who are managing major IT acquisitions complete level three certification within 12 – 18 months from being appointed in that position. Entry and journeyman level program and project managers are required to have level one and level two certifications. The USDA also is establishing a certification framework called Program and Project Managers Training and Certification (PMTTC) Program. This is based on recent federal working groups and collaboration with leading industry companies on the newly revised Federal Acquisition Certification for Program and Project Managers (FAC-PPM) Policy and Guidance. USDA'S PMTTC Program is leveraging what others have done by centralizing the selection, enrollment, and approval of certification processes for existing and future Program and Project Managers who meet the applicable criteria.

Department of Commerce

DOC's IT Security Training Program consists of role-based and awareness training. Awareness training is a combination of web-based and instructor-led training. Role-based training consists of five courses targeted at the responsibilities of authorizing officials and IT system owners delivered as instructor-led training and via webinars. Training completion metrics are tracked quarterly across the Department. In FY 2013, DOC implemented various process improvements including:

- Identifying individuals assigned to roles with significant security responsibilities across the department;
- Expanding role-based training, instructor-led training, and virtual webinars to include courses on risk assessment, common controls, security categorization, risk management framework, and plan of actions and milestones;
- Implementing a learning-plan to meet fiscal year IT security awareness and role-based training requirements, resulting in expanded training options for each target audience and continuing education units for maintenance of IT security professional certifications;
- Improving customer service aspects of training record management through a Commerce Learn Center administrator focused on IT security training and awareness;
- Developing an IT Security Awareness training web page that provides the training schedule; and

list of complimentary external security training opportunities;

- Establishing the DOC Federal Virtual Training Environment Community, which provides free supplemental online, on-demand cybersecurity training to DOC's IT and cybersecurity workforce; and,
- Implementing Privacy Awareness training to enhance employee's awareness and understanding of the requirements to protect PII and Business Identifiable Information (BII). Initially offered as in-person group training, the course was converted to computer base training to extend the outreach capability for privacy awareness, and has been added to the Commerce Learning Center to enable availability across the department.

Department of Defense

DOD is in the initial stages of migrating its IT and cybersecurity workforce into a broader cyberspace workforce framework, which is aligned to the specialty areas established by the National Initiative for Cybersecurity Education. In order to support its diverse professional development requirements, the DOD cyberspace workforce will need an integrated learning continuum that provides a variety of training environments, including traditional classroom training; virtual training; hands-on laboratories; and realistic, operational exercises using Information Assurance (IA) and Cyber ranges. The DOD is leveraging established training and education venues both internally and externally to maximize professional development opportunities for its cyberspace workforce, and determining where gaps in training programs exist. As part of this effort, the U.S. Cyber Command is engaged in developing and training National Mission Teams to detect, deter, and respond to threats to critical infrastructure. Furthermore, to enhance the security of DOD networks, the department implemented an enterprise-wide program requiring each individual with access to DOD networks to take cybersecurity awareness training on an annual basis.

For the past decade, the DOD has partnered with commercial cybersecurity certification providers on the development and improvement of cybersecurity certification testing. These partnerships will continue to evolve as the cyberspace workforce construct matures. Internally, the department has an array of technical schoolhouses run by the Military Services and Combat Support Agencies, as well as six institutions jointly qualified as Centers of Academic Excellence in Information Assurance Education by the National Security Agency and Department of Homeland Security (DHS). These institutions include the three Military Service Academies, the iCollege of the National Defense University, the Naval Postgraduate School (NPS) and the Air Force Institute of Technology (AFIT). NPS, AFIT and the iCollege all provide cross-agency professional development opportunities, and the iCollege is a member of the Federal CIO Council's CIO University consortium. In addition, DOD engages with over 170 other public and private universities and colleges to recruit and retain IT and cybersecurity professionals. Further, DOD participates in a joint initiative with DHS and the State Department to provide an online, on-demand training center for federal cybersecurity and IT professionals through the Federal Virtual Training environment (FedVTE). FedVTE extends department-sponsored content for commercial certification prep courses, operational tools training, and technical labs to the federal community.

DOD also offers various instructional programs to meet Privacy Act training requirements of OMB Circular A-130, "Management of Federal Information Resources,"¹² and DOD 5400-11R, "Department of Defense Privacy Program."¹³ These include a four day Defense Privacy Officer Professionalization Program, a Privacy Act Compliance & Management course for privacy support personnel, System of Records Notice training workshops, PIA/systems owner training, component provided annual and

refresher Privacy Act training courses, and other targeted conferences and workshops. DOD also led a federal-wide initiative in FY 2013 to update the Clinger-Cohen Core Competencies, which are used as the foundation for IT course and curriculum development at the National Defense University's iCollege, as well as other approved graduate programs under the Federal CIO Council's CIO University Consortium umbrella. DOD is also in the process of developing and implementing enterprise-wide mission critical occupation (MCO) competencies within the department's Defense Competency Assessment Tool. In 2013, baseline competency development work was initiated for the IT Management 2210 series, an MCO which is the foundation of the DOD IT civilian community. These competencies will be validated in 2014.

Department of Education

In FY 2013, nearly 2,000 employees completed an instructor-led IT course offered by ED's Office of Management. Nearly 100 different classes are available, including courses on risk and project schedule management, creating accessible documents, conducting project progress reviews, and software skills improvements. In addition, nearly 7,000 employees gained IT skills and knowledge through ED's library of online IT courses. ED also offered learning opportunities through workshops, brown bag lunches, and webinars.

The Privacy Safeguards and Information Assurance Programs develop and update required cybersecurity and privacy awareness training for all staff and contractors and specialized role-based privacy training for senior officials, system administrators and others dealing with data and IT. ED enhanced its training program in FY 2013 by incorporating best practices to mitigate audit findings; adapting the training to be responsive to current events, such as phishing; increasing access points to online and live training and downloadable briefings; shortening the average completion time by 50 percent; releasing the 2013 training earlier in the year to allow personnel more time to complete it by the deadline; and improving the readability of training and test documents on the Flesch Reading Ease Scale. ED achieved a 100 percent completion rate for both general awareness training and role-based training in FY 2013.

Competency reviews for the agency's IT workforce are performed as part of the department's overall performance management system, which uses a results-oriented process to improve individual performance to achieve ED's mission. The REsults ACHieved (REACH) system is designed to promote consistency and transparency across the organization in how work is defined and evaluated. REACH focuses on employees and supervisors working together to develop performance plans, maintaining ongoing feedback about expected outcomes, rewarding good performance, and creating development plans to improve results. Supplementing REACH performance reviews were results from the voluntary OPM Program and Project Manager WorkForce Survey. In FY 2013, ED determined that the program and project manager area with the greatest competency gap was IT project risk management. This gap was addressed by working with a vendor to develop a course in IT project risk management that was provided twice for a total of 38 employees.

Department of Energy

The DOE OCIO has developed and implemented an IT Project Management Qualification process to ensure that project managers for key IT investments are certified. The IT Project Management Qualification initiative has been integrated with DOE's CPIC Program review and oversight activities for all new and future major IT investments. IT staff who do not currently manage major IT investments are provided the opportunity to develop project management skills to support future investments. OCIO tracks and approves DOE IT project managers throughout the certification process. The process provides

an assessment of project managers' skills, level of project manager-related experience and training, and then follows up with appropriate provision of training to ensure proper certification of DOE IT project managers. The DOE OCIO also provides an annual mandatory training course on privacy and data protection policies. The course is designed to address the importance of privacy, and to ensure that DOE employees are aware of the vital role they play in safeguarding privacy and protecting PII. Additionally, DOE participates in the Federal CIO and OPM government-wide Information Technology Workforce Capability Assessments to capture key information on workforce competencies, IT skills and Specialized Job Activities. Assessment results provide critical information to enable agency and federal IT leaders to meet human capital goals, perform mission-critical occupation reporting, and prepare future IT human capital initiatives, such as training.

Department of Health and Human Services

HHS' mission and diversity of services make it imperative that the department maintain a well-trained IT workforce that exhibits technical knowledge and expertise. The HHS OCIO is working diligently to meet the rapidly growing training needs of the department's IT workforce. In order to meet these needs, the OCIO assesses the established OCIO knowledge and skill training requirements for IT personnel and determine if the requirements are adequate, and assesses the extent to which management levels of HHS meet the OCIO knowledge and skill requirements. The OCIO also develops strategies for the hiring, training, and professional development of HHS personnel in the area of IT. As a result of these assessments, the OCIO has implemented Basic Project Officer's training and Project Management training for its employees. The OCIO has plans to build upon its training curriculum by adding additional programs to meet the diverse needs of all HHS IT workforce personnel.

Department of Homeland Security

The DHS IT Program Management (ITPM) Development Track is an IT-focused, program and project management training program managed by the DHS OCIO. The purpose of the DHS ITPM program is to provide the framework and training to program and project managers, who oversee the department's IT programs and projects. The focus of the development track is on practical IT program and project management training, which addresses applicable DHS IT directives, policies, methods, and practices. The certification program is designed to develop a cadre of qualified and well-trained professional managers who are eligible for formal assignment to IT programs and projects within DHS. Depending on the individual's level of experience, and after completion of the DHS ITPM development track, graduates are eligible to obtain DHS Program Managers Certification up to Level II. Completion of the ITPM development track also allows graduates to enroll in the new DHS ITPM Rotational Assignment program, currently planned for deployment in the third quarter of FY 2014. This initiative will provide recent ITPM training graduates the opportunity to gain "hands-on" experience in managing major IT programs and projects at the appropriate level of certification by participating in a six to 12 month rotational assignment in IT Level 1 and Level 2 Program offices throughout DHS.

Department of Housing and Urban Development

HUD's IT training complies with the guidance of the Federal Acquisition Certification for Program/Project Managers as set forth by the Office of Federal Procurement Policy. This policy sets the requirements for training in the following areas: acquisition management; government-specific; program/project management; earned value management; business/finance; life cycle cost analysis; and leadership development and communications management at the entry, mid and senior levels. The OCIO provides training in these areas to its workforce using a contract vehicle.

Privacy training focused on the importance of protecting employee and citizen data is also provided to the department. This training includes the annual mandatory IT Security online training which includes privacy protection training, and “as needed” training for the Department and/or Privacy Liaison Officers. HUD’s Security Awareness Program consists of several components designed to protect the confidentiality, integrity, and availability of HUD’s information systems and the information they contain. These components consist of mandatory annual security awareness training, weekly security awareness tips disseminated to all HUD employees, and security alerts as circumstances warrant. Additionally, HUD’s Computer Self-Help Desk is a one-stop website available to all employees which provides tricks and tips on software applications such as Word, Excel and PowerPoint. The OCIO’s Virtual Training site also offers HUD employees additional training opportunities via LiveMeeting or classroom sessions. New classes are added monthly. The HUD Virtual University offers HUD employees access to over 2,000 online courses from the Skill Soft courseware libraries as well as custom courses developed by HUD program organizations.

Department of the Interior

In FY 2013, DOI conducted a comprehensive Current State IT workforce analysis that identified the major duties of each IT position throughout DOI. This analysis aligned major IT duties to Infrastructure IT or Mission Program IT, and assigned duties to service categories and sub-categories. This detailed workforce duty analysis provided DOI IT leadership with a comprehensive view of the IT work being performed across the department. The data has been instrumental in workforce planning required to support IT Transformation and will continue to be used. The next step in DOI’s IT workforce development is to map the major duties in DOI’s future state organization to the current state skills assessments so that IT managers can identify more targeted training and development opportunities for their employees. Throughout FY 2014 and into FY 2015, DOI will continue to define additional operational details for the IT Transformation future state and identify the related competencies.

DOI also continues to focus on the importance of having qualified, skilled IT project and program managers. In collaboration with DOI University, DOI offers a Federal Acquisition Certification for Program and Project Managers (FAC-P/PM). Individual classes or the full curriculum resulting in certifications are available. On-line project management classes are available to DOI employees through a Skillsoft license. In addition, the DOI Privacy Training Program includes a mandatory Privacy Act course that is delivered as part of the Federal Information System Security Awareness (FISSA) training that must be completed annually, and by all new employees and contractors. Specialized training courses and individual or group training are also provided to increase privacy awareness and ensure compliance with Federal privacy laws and policies. In FY 2013, DOI developed two computer-based privacy courses, Privacy for HR/EEO Professionals and Privacy and Civil Liberties in the Information Sharing Environment, to provide targeted, role-based training to employees with privacy responsibilities. These courses provide guidance on roles, responsibilities and compliance requirements, and are available to all agency employees on DOI Learn, DOI’s department-wide learning management system.

Department of Justice

For FY 2013, the DOJ IT Security Staff (within DOJ’s OCIO) led department-wide IT training efforts through its Information Security Employee Services (ISES) Team. Comprised of IT training points of contact from each of the department’s Components, the ISES Team is responsible for drafting annual IT security training policy and procedures for Computer Security Awareness Training (CSAT) and IT professional training offerings. Specific areas of focus during FY 2013 were Insider Threat Mitigation and Social Engineering/Spear Phishing awareness.

The Department utilized three learning management systems for self-launched delivery of learning offerings and recordation of training completions. In addition, the systems were used for external training approvals and creation of Individual Development Plans (IDP). DOJ holds membership in the Federal CIO Council's IT Workforce Committee and chairs or participates in several cross-agency programs such as the IT Job Shadow Day, Scholarship for Service, Cyber Corps, and the IT Workforce Capability Assessment. The department also has an internal CIO Council, IT Security Council, and various training and developmental working groups.

The DOJ Office of Privacy and Civil Liberties (OPCL) provided training on the Privacy Act of 1974, the interface between the Privacy Act and the privacy provisions of the E-Government Act, and the interface between the Privacy Act and the Freedom of Information Act, through the Office of Legal Education. These training courses were open to all DOJ employees, and videos of the courses are available to DOJ employees through the Department's LMS. OPCL also reviewed the privacy portion of the department's updated CSAT course to ensure that it contained appropriate information on federal information privacy laws. Additional training efforts of the OCIO included Section 508 compliance training in the areas of creating accessible PDF documents, creating accessible Word documents, and Section 508 Compliance Testing Techniques.

Department of Labor

The DOL OCIO oversees, supports, and provides various types of IT training to DOL staff and contractors. Training includes periodic technology upgrade training associated with desktop computers, annual IT refresh training, and IT investment management related training, as well as mandated IT related training such as Information Systems Security and Privacy Awareness training. Specifically, the DOL OCIO provides annual CPIC and IT investment related training classes to DOL IT Project Managers (PMs) and IPT members, including contractors. The training classes include topics such as CPIC and eCPIC, Post Implementation Review, Operational Analysis, Earned Value Management, Baseline Management training, and Integrated Baseline Review training. The OCIO believes IT training program have resulted in better managed and higher performing IT investments.

In addition, all DOL employees and federal contractors are required to meet general security awareness training and role-based training for individuals who work in a security function. DOL delivers training annually through the DOL LearningLink Management System, and utilizes FedVTE a virtual training environment that allows both Federal employees and contractor staff to access training designated for information security and privacy training. DOL has hourly requirements for executives, senior, mid-level and junior IT specialists who have a designated role in security. DOL sponsor's role-based training on a quarterly basis in areas that require special attention such as incident response training, breach notification, and contingency planning. Senior Executives are also provided a one-hour training to meet their training requirement. Quarterly newsletters are also delivered to the DOL community on a variety of subjects in the area of IT security and privacy, and the OCIO develops and publishes additional awareness materials such as email notifications, elevator posters, and conference and webinar sessions.

Department of State

State's Foreign Service Institute (FSI) provides training to the department and 47 customer agencies, and limited training to private sector academic institutions and businesses operating overseas. FSI's main campus is a 72 acre site in Arlington, Virginia, but also has regional training centers overseas and four overseas language operations for Arabic, Chinese, Japanese, and Korean. FSI is a designated federal wide e-training service provider under the federal Enterprise Human Resources Integration initiative and a federal provider of cybersecurity training under the Information System Security Officer line of

business. FSI has an internet-based Learning Management System designed to reach the worldwide target audience and provides over 270 custom distance learning courses designed especially for the foreign affairs customers in the Department and client agencies. FSI also purchases commercial distance learning courses from private vendors that include the full range of subject matter content. In FY 2013, FSI had 60,631 course completions in classroom courses for 3,609,066 hours of training. FSI also had 49,683 completions of FSI produced distance learning courses for 267,070 hours, and 22,951 completions of commercial courses for 31,089 hours. Additionally, the department had 5,471 external training events with a total of 214,012 hours.

The department provides IT training to all systems administrators, Information Management Technical Specialists, and end-users through FSI's School of Applied Information Technology (SAIT). To improve course delivery and ensure FSI training reflects the latest technology, SAIT continues to develop new courses and revise existing curriculum based on program initiatives of the Information Resource Management Bureau. An extensive array of courses is provided through classroom training. Commercially trained and certified instructors teach all SAIT certified courses and full curriculums are available for those qualified students who wish to pursue industry-standard certifications. SAIT provides IT certification training for Office Management Specialists, and State-specific applications such as the Secret Internet Protocol Router Network and the State Messaging and Archive Retrieval Toolset. In addition, SAIT supports the professional development of the Information Management Specialists throughout their careers with targeted level tradecraft courses.

Department of Transportation

The DOT CIO's office conducts trainings known as Technology, Evaluation and Learning Series (TELS). TELS sessions cover a wide range of IT Training areas including, but not limited to, privacy, CPIC, EA, and budgeting for IT projects.

Department of the Treasury

Treasury offers CPIC operational metrics training, including an overview on the development of good metrics, metric types, issues with metrics, and Treasury's specific approach to reporting metrics. Treasury reviews the metrics with investment owners to identify how they could improve or replace measures that needed further work. Treasury also facilitates cross-agency development, including employee assignment to the Data Disaggregation Team of the Challenge Team Program sponsored by the Federal Asian Pacific American Council, with participation from the White House Initiative on Asian Americans and Pacific Islanders, OPM, and the U.S. Equal Employment Opportunity Commission. Additionally, the Treasury Learning Management System is used for annual training programs, competency reviews, and offers a selection of additional online learning courses for the Treasury workforce.

Department of Veterans Affairs

New employees in VA's Office of Information and Technology (OIT) receive a three-day orientation at the VA National IT Training Academy headquarters in Falling Waters, WV, and at NTA Smart Classrooms across the country. The "Start It Up" IT Welcome Program was designed by the IT Workforce Development to help new OIT employees become aware of VA's mission, vision, values, guiding principles and culture. Through "Start It Up," new hires have the opportunity to identify with OIT, develop a sense of belonging, build networks, and realize the value of their roles and how they contribute to VA's overall strategy. The OIT New Hire Orientations are held on a quarterly basis.

MyCareer@VA is an interactive, online career development experience that empowers VA employees to create a personalized career plan. Using the website's five custom-built tools, employees can achieve new professional goals, hone their skills, and map a personalized path toward career fulfillment. The system was developed by experts at the VA Learning University and subject matter experts from all VA administrations who share a commitment to helping employees advance their career. The system makes it easier for employees to match interests and experiences to the positions at VA, and map out a clear path for their long-term career. This one-of-a-kind website represents VA's commitment to supporting employees throughout their career with training, education, and developmental opportunities. Additional information regarding VA's IT Training information can be found at: www.valu.va.gov.

U.S. Agency for International Development

The USAID Chief Privacy Officer (CPO) provides annual privacy awareness training to all USAID employees, particularly those employees who will use or view PII data elements in the routine performance of their jobs. In addition, USAID provides targeted, role-based training to those employees who have been designated as PII custodians. All USAID employees must complete annual privacy awareness training. This annual training is provided to employees so that they may better understand the basic knowledge necessary for protecting PII data elements in accordance with USAID and Privacy Act requirements. If employees do not complete their annual privacy awareness training, the CPO will suspend their access to such Privacy Act information data elements. If employees do not abide by the rules of behavior, their privileges to access such PII data will be denied.

USAID provides IT initial and awareness training in online and classroom formats accessible to the Agency through USAID University, AIDConnect and the training division in Human Resources. General IT courses cover office productivity software as well as software and applications specific to USAID, such as GLAAS and Phoenix. The USAID Information Assurance division (IA) targets training on security topics for general users and users with specialized security responsibilities. Classroom-based initial information security awareness is required for all new users with network access. Annual information systems security awareness training is provided through the Tips of the Day program. Specialized information security awareness training is provided annually to those with elevated administrative privileges, system ownership, and managerial security responsibilities.

Environmental Protection Agency

EPA has a host of on-line IT training courses that help deliver IT and other training to Agency employees. EPA eLearning is the Skillport training and professional development system available to Agency employees at work or from home, 24 hours a day and 7 days a week. Online courses, books, simulations and other resources are available on topics such as project management, the Microsoft suite, IT security, professional skills, and more. Employee access includes over 2,500 courses and books on business and IT technical skills (new resources are added monthly); the ability to chat or email questions on course content with a teacher or "mentor;" preparation materials for industry standard certifications (PMI, CISSP, ISC2, ITIL, Six Sigma, etc.); interactive, video-based courses in the Business Explorations "Knowledge Center;" and access training 24 hours a day, 7 days a week.

Recognizing that training and awareness are critical to protecting agency PII, EPA is developing online training for privacy contacts in its programs and regions. The training will be launched in the first quarter of FY 2014, and mandatory general awareness privacy training will be available to all employees later in FY 2014. The annual mandatory security awareness training, taken by all employees and others with access to EPA's systems, also has a privacy training component. The Agency Privacy Officer

conducts face to face and webinar trainings as needed and when requested by an organization.

General Services Administration

GSA offers IT courses to employees via an internal On-Line University and GSA's University for People program. GSA participated in the CIO Council's 2011 IT Workforce Capability Assessment which led to the development of GSA's IT Human Capital Strategic Plan. GSA OCIO used the results to assess the capabilities, skills, and potential resource gaps within GSA's IT Workforce. GSA created a Technology Learning Map which provides the employee a series of courses across three proficiency levels and pre-defined skill sets. Upon completion of select technology training opportunities, the employee is prepared to fulfill recommended certifications and address applicable reinforcing activities. For cross-agency development programs, GSA's Office of Citizen Services and Innovative Technologies (OCSIT) manages the DigitalGov University (DGU), the Federal government's training program for digital media and citizen engagement. Since 2004, DGU has sponsored more than 200 training events with more than 18,000 attendees. The CIO University, managed by GSA's Office of Government-wide Policy, is a cooperative venture between the Federal government and select institutions of higher learning to offer graduate level programs that directly address federal executive core competencies based on Clinger-Cohen legislation. Students from government and industry who graduate from IT graduate degree programs at any of the six universities receive a CIO University Certificate from the government. Since 2000 more than 1,500 people have graduated.

National Aeronautics and Space Administration

NASA utilizes an online training system called SATERN to provide IT technical, IT security and privacy training to the NASA community. IT security awareness training is mandatory for all NASA employees and contractors involved with agency information or information systems. NASA employees and contractors are provided annual privacy and sensitive information training with recurring training also provided for IT Security and Privacy related topics. Additionally, centers conduct Incident Response and Privacy Breach Response exercises to ensure employees are prepared in advance of an incident or breach of sensitive privacy information. Finally, monthly video conferences are conducted with the Center Chief Information Security Officers and the Center Privacy Managers during which there is policy and program updates, and discussions and collaboration about issues facing the community. NASA provides training opportunities and cross-agency development through programs such as career development details, NASA FIRST, NASA Mid-Level Leaders, and participates in several industry developmental programs. Competencies are managed through annual IT surveys and implementation of NASA's IT Workforce Development plan.

National Archives and Records Administration

NARA provides most of its IT training via its Learning Management System (LMS), an internet-based software package that delivers and manages learning content and resources. Application-specific training (as needed) is provided by commercial vendors or other government agencies. IT security training is provided at the time of on-boarding for all NARA staff (employees and contractors) and annually as required, along with training on protections for privacy-related information. In FY 2013, NARA developed a multi-level Tier II training program for System Owners, Information System Security Officers, IT Security Staff, and IT Security Support Staff. Annual IT Security briefings are provided to Administrative Officers, Facilities Officers, Field Office System Administrators, and Network Operations support staff. A training module for Business Owners and System Owners is in development and will be incorporated in the FY 2014 training cycle.

NARA provides annual privacy training on personally identifiable information and the Privacy Act to all employees as part of the online IT Security and Awareness training. In addition, employees responsible for screening archival records for release to the public receive in-depth Privacy and Freedom of Information Act training on a regular basis. All new employees, including student and temporary employees, receive a written training packet with information on privacy compliance. NARA has many term employees that may not receive access to agency computer systems for their jobs and may miss annual training cycles because of their entry and exit dates. Thus, providing hard copies of the new employee information on PII is an essential part of the training program. Likewise, permanent employees who cannot access the online IT Security and Awareness training receive hard copies of the information for their review. Volunteers and student interns also receive the written training packet to review. NARA provides a wide array of cross development opportunities for our IT workforce. For ease of use and targeted development, the curriculum and activities are mapped to the Clinger-Cohen required competencies. Competency gaps are identified using data from the annual Clinger-Cohen Assessment, integrated into staff Individual Development Plans, and tracked and reported on using NARA's Learning Management System.

National Science Foundation

NSF's mission depends on information systems that operate continuously, maintain high availability and protect information from inappropriate disclosure. NSF recognizes the importance of maintaining a first-rate IT workforce, and has implemented IT training programs for NSF staff and contractors to that end. NSF requires all staff and contractors to complete an annual Security and Privacy Awareness training course. Staff also have the option of attending an instructor-led session to review IT Security and Privacy Awareness issues. In recent years, NSF has achieved an average 98% completion rate for IT Security and Privacy Awareness training. In alignment with federal IT workforce initiatives and other drivers, NSF also conducts periodic IT competency assessments to evaluate the current and future needs of the agency's technology staff. As appropriate, NSF uses the results of competency assessments in developing strategies related to recruitment, retention, and training of the agency's IT workforce.

Nuclear Regulatory Commission

Delivery of IT training at the NRC is a partnership involving the agency's Office of Information Services, Computer Security Office, and Office of the Chief Human Capital Officer. This cooperation was exemplified by the agency's IT EXPO held in September 2013, which highlighted IT-related services, activities, and training that empowers staff to accomplish the NRC mission. IT and management professionals presented briefings and demonstrations on topics such as the information lifecycle and XML Author, and tours of major NRC IT/IM initiatives and operations such as the NRC Data Center.

All NRC training courses are designed and developed using a systematic instructional design process to determine the best method for training delivery and the most appropriate content to provide staff needed IT competencies. General IT competencies include mandatory annual training such as PII and Computer Security Awareness for all staff, as well as IT system deployment training. Specialized training is offered for different roles (e.g., project managers and information system security officers). Current IT training delivery is a blend of options including more than 800 IT-related online training courses via iLearn (the agency's training management system), and topic-specific classroom courses.

During FY 2013, the agency completed two IT training needs assessments. Each project was undertaken to ensure that NRC IT training and workforce competencies align with critical competencies identified through OPM, the NRC's Office of Information Services and Portfolio Council for Education

Training, the White House 25-Point Implementation Plan to Reform Federal Information Technology Management, the Federal Information Security Management Act of 2002, OMB Circular A-130, the National Initiative for Cybersecurity Education, and Special Publications SP 800-50 and SP 800-16 (published by the National Institute of Standards and Technology) on building IT security awareness training.

The first assessment, entitled “IT Workforce Training Needs Assessment,” identified the NRC core competencies and OPM general and technical competencies in Grades 9 - 15 for NRC IT project and program managers, system administrators, and IT specialists in system analysis, customer support, and enterprise architecture. This study also mapped existing NRC training with proposed training courses and potential vendors to meet the NRC’s goals. The second study, entitled “Cyber Workforce Development Plan,” identified the roles, responsibilities, and associated training for NRC ISSOs and established a baseline for cybersecurity skills and their sustainment through in-house courses, Federal training programs, and commercially available training. Both assessment reports serve as a starting point that will be used to develop enterprise-wide contracts to meet the training needs of the agency’s IT staff. The NRC’s goal is to continuously improve the efficiency and effectiveness of IT training delivery, while minimizing training costs, and to provide IT staff the critical competencies needed to strengthen program management; streamline governance, and increase the agency’s implementation of e-Government.

Office of the Director of National Intelligence

The Civil Liberties and Privacy Office (CLPO) provides an overview briefing of privacy and civil liberties as part of the Entrance-On-Duty orientation for all ODNI personnel, which include cadre employees, detailees, assignees and contractors. A specific web based training module was recently developed for the National Counterterrorism Center. Geared towards personnel directly involved with the analysis of information potentially concerning U.S. Persons, this module provides NCTC analysts with job-specific and comprehensive privacy training. A web-based training module, covering the Privacy Act and Personally Identifiable Information, is currently under development for the rest of the ODNI workforce. In addition, CLPO has provided privacy and civil liberties presentations as part of other ODNI-sponsored training, conferences and seminars.

Office of Personnel Management

All OPM employees and contractors who have access to the agency’s local area network (LAN) participate in annual online IT security and privacy training. Compliance is mandatory, and those who do not comply lose access to the LAN until they complete the training. During FY 2013, OPM continued to support a Program Management Community of Practice (PM CoP) put in place in FY 2012. The PM CoP was designed to allow experienced Program Managers to share knowledge, help build competencies in others (including through mentorship), and drive IT Program Management succession planning. Participation in this CoP also constitutes certified training for Federal Acquisition Institute (FAI) Program/Project Manager. The PM CoP splits its meetings between informal discussions of project management and formal presentations. For example, the PM CoP sponsored training for more than 100 OPM employees on “Earned Value Management and Agile Development.”

Employees also took a wide range of IT courses via the OPM LMS. There are 312 IT-related courses via the LMS, including courses on databases and spreadsheets, security, word processing other office applications, email, operating systems, program and project management, and networking. In FY 2013, a total of 1,540 courses were completed.

Small Business Administration

SBA provides mandatory periodic computer security awareness training to all individuals who are involved with the management, use, or operation of a Federal computer system, or those who have access to SBA's sensitive data. The goal of this training is to provide employees and contractors with an overview of computer security laws, regulations, and SBA policies. This training teaches users good security practices and informs them about their computer security responsibilities. Through this program, SBA ensures that all employees and contractors are trained annually on Continuity of Operations (COOP), IT security and privacy. The OCIO also provides portfolio management training to IT Investment Managers on budget submission processes, supporting tools (including eCPIC) and related topics. Other training resources including a training calendar, procedures to request training and training opportunity announcements and information notices are provided to SBA employees on the internal SBA portal. Additional training is available through SkillPort which is a 24/7 gateway to learning resources for skills improvement, professional development, performance support, and more. SkillPort's easy-to-navigate interface provides answers to questions, develops professional skills, and supports targeted learning. Users use their SBA email address to log in to view the available resources. SBA also provides employee training for Telework which can be accessed at: www.telework.gov/tools_and_resources/training/employees/index.aspx.

Social Security Administration

The Office of Systems Technical Training Program utilizes the following methods to determine IT training needs for Systems staff:

- Training Needs Assessment Survey (TNAS) – Comprised of courses satisfying the relevant areas of competency. Components identify critical needs in the following four areas; succession planning, skill gaps, agency initiatives, and new hire training.
- Special Request Form –Used to request training not listed on the TNAS or planned for in initial training plans.
- Skills Inventory - Current skills and gap data are analyzed in detail and training solutions are developed for skill gap areas.

Courses are scheduled and training allocations are distributed based on identified critical needs. Each Systems component makes the final determination as to who is scheduled for the training. Training requests that identify critical training needs are prioritized and scheduled based on available training funds. In addition to IT classes that are purchased from vendors, Systems employees have access to SSA's e-Learning Management System, books 24/7, and webinars covering subjects applicable to Systems Internal training developed by Systems subject matter experts.

The Office of Information Security places a high priority on cybersecurity training and education to inform agency employees and contractors of their responsibilities to protect the privacy and confidentiality of sensitive information. OIS raises security awareness by employing a variety of training delivery methods, including interactive computer-based training, video on demand, anti-phishing and social engineering exercises, and classroom training for personnel with specialized security roles. Additionally, SSA has begun creating role-based security training content tailored to specific positions throughout the agency. Finally, SSA participates in government-wide initiatives such as the National Initiative for Cybersecurity Education and the Federal Chief Information Officers Council IT

Workforce Assessment for Cybersecurity workgroup.

APPENDIX P: CROSSWALK OF E-GOV ACT REPORTING REQUIREMENTS

E-Government Act of 2002 Requirement	Location in E-Government Act Report to Congress
Sec. 101 (44 U.S.C. § 3604) – Provide a description of projects receiving E-Gov funds in FY 2013, including funding allocations and results achieved.	Section I – E-Government Fund
Sec. 209 – Provide a summary of activities related to IT workforce policies, evaluation, training, and competency assessments.	Section II – Government-wide IT Workforce and Training Policies
Sec. 214 – Provide a summary of how IT is used to further the goal of maximizing the utility of IT in disaster management.	Section III – Disaster Preparedness
Sec. 216 – Provide a summary of activities on geographic information systems and initiatives, and an overview of the Geospatial Platform.	Section IV – Geospatial
Sec. 101 (44 U.S.C. § 3602(e)) – Oversee implementation of electronic Government under the E-Gov Act and other relevant statutes relating to capital planning and investment control for IT.	Appendix A - Capital Planning and Investment Control Procedures for IT
Sec. 101 (44 U.S.C. § 3602(f)(9)) – Sponsor ongoing dialogue to encourage collaboration and enhance understanding of best practices and innovative approaches in acquiring, managing, and using information resources to improve the delivery of government information and services to the public.	Appendix B - Enhanced Delivery of Information and Services to the Public
Sec. 202(b) – Develop performance measures.	Appendix C – Performance Integration
Sec. 202(d) – Avoid diminished access and ensuring accessibility to people with disabilities.	Appendix D – Accessibility
Sec. 202(e) – Engage the public in development and implementation of policies.	Appendix E – Government-Public Collaboration
Sec. 203 – Implement electronic signatures.	Appendix F – Credentialing

E-Government Act of 2002 Requirement	Location in E-Government Act Report to Congress
Sec. 204 – Oversee the development of a Federal Internet Portal	Appendix G – Internet-Based Government Services
Sec. 206 – Report to Congress agency compliance with electronic dockets for regulatory agencies. Ensure public websites contain electronic dockets for rulemaking.	Appendix H – E-Rulemaking
Sec. 207(d) and (e) – Report on agency compliance with policies pertain to the organization and categorization of government information, and agency compliance with establishing policies and procedures regarding recordkeeping.	Appendix I – National Archives Records Administration Recordkeeping
Sec. 207(f)(1)A(ii) – Report on agency compliance with requirements to make information available to the public under the Freedom of Information Act.	Appendix J – Freedom of Information Act
Sec. 207(f)(1)(A)(iv) – Report on agency compliance with requirements to provide an information resources strategic plan.	Appendix K – Information Resources Management Strategic Plan
Sec. 207(f)(1)(B) – Report on agency compliance with developing goals to assist the public with navigating agency websites.	Appendix L – Public Access to Electronic Information
Sec. 207(g) – Develop a government-wide repository and website for all Federally funded research and development.	Appendix M – Research and Development
Sec. 208(b) – Report on agency compliance with developing a privacy policy and conducting privacy impact assessments.	Appendix N – Privacy Policy and Privacy Impact Assessments
Sec. 209(b) – Report on agency compliance with establishing information technology training programs.	Appendix O – Agency Information Technology Training Programs

END NOTES

1 SEC. 101, 44 U.S.C. §3606. E-Government report. (a) Not later than March 1 of each year, the Director shall submit an E-Government status report to the Committee on Governmental Affairs of the Senate and the Committee on Government Reform of the House of Representatives. (b) The report under subsection (a) shall contain— (1) a summary of the information reported by agencies under section 202(f) of the E-Government Act of 2002; (2) the information required to be reported by section 3604(f); and (3) a description of compliance by the Federal Government with other goals and provisions of the E-Government Act of 2002.

<http://www.gpo.gov/fdsys/pkg/PLAW-107publ347/pdf/PLAW-107publ347.pdf>.

2 SEC. 2(g) REPORT.— (1) IN GENERAL.—The Director of the Office of Management and Budget shall submit to the Committee on Homeland Security and Governmental Affairs of the Senate and the Committee on Government Reform of the House of Representatives an annual report regarding the implementation of the website established under this section. (2) CONTENTS.—Each report submitted under paragraph (1) shall include—(A) data regarding the usage and public feedback on the utility of the site (including recommendations for improving data quality and collection); (B) an assessment of the reporting burden placed on Federal award and subaward recipients; and (C) an explanation of any extension of the subaward reporting deadline under subsection (d)(2)(B), if applicable. (3) PUBLICATION.—The Director of the Office of Management and Budget shall make each report submitted under paragraph (1) publicly available on the website established under this section. <http://www.gpo.gov/fdsys/pkg/PLAW-109publ282/pdf/PLAW-109publ282.pdf>.

3 SEC. 508. ELECTRONIC AND INFORMATION TECHNOLOGY. (a) REQUIREMENTS FOR FEDERAL DEPARTMENTS AND AGENCIES.— (1) ACCESSIBILITY.— (A) DEVELOPMENT, PROCUREMENT, MAINTENANCE, OR USE OF ELECTRONIC AND INFORMATION TECHNOLOGY.—When developing, procuring, maintaining, or using electronic and information technology, each Federal department or agency, including the United States Postal Service, shall ensure, unless an undue burden would be imposed on the department or agency, that the electronic and information technology allows, regardless of the type of medium of the technology— (i) individuals with disabilities who are Federal employees to have access to and use of information and data that is comparable to the access to and use of the information and data by Federal employees who are not individuals with disabilities; and (ii) individuals with disabilities who are members of the public seeking information or services from a Federal department or agency to have access to and use of information and data that is comparable to the access to and use of the information and data by such members of the public who are not individuals with disabilities. <http://www.gpo.gov/fdsys/pkg/PLAW-105publ220/pdf/PLAW-105publ220.pdf>.

4 United States Government Accountability Office, Geospatial Information: OMB and Agencies Need to Make Coordination a Priority to Reduce Duplication, GAO 13-94 (November 2012), available at: <http://www.gao.gov/assets/660/650293.pdf>.

5 OMB Circular A-119, "Federal Participation in the Development and Use of Voluntary Consensus Standards and in Conformity Assessment Activities" (February 10, 1998) available at: http://www.whitehouse.gov/omb/circulars_a119.

6 Improper Payments Elimination and Recovery Improvement Act of 2012 (P.L. 112-248), available at: <http://www.gpo.gov/fdsys/pkg/PLAW-112publ248/pdf/PLAW-112publ248.pdf>.

7 Department of Defense Electronic Records Management Software Applications Design Criteria Standard (DOD 5015.2-STD, June 2002), available at: <http://jitec.fhu.disa.mil/cgi/rma/downloads/p50152stdapr07.pdf>

8 Department of Defense Instruction 8115.02, Information Technology Portfolio Management Implementation (DODI 8115.02, October 2006), available at: <http://www.dtic.mil/whs/directives/corres/pdf/811502p.pdf>

9 Federal Chief Information Officer Memorandum on Requirements for Accepting Externally-Issued Identity Credentials (October 6, 2011), available at:
http://www.whitehouse.gov/sites/default/files/omb/assets/egov_docs/ombreqforacceptingexternally_issuedidcred10-6-2011.pdf.

10 OMB Memorandum M-12-18, "Managing Government Records" (August 24, 2012) available at:
<http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf>

11 DOE Directive 206.1, "Department of Energy Privacy Program," (January 16, 2009), available at:
<https://www.directives.doe.gov/directives/0206.1-BOrder/view>.

12 OMB Circular A-130, "Management of Federal Information Resources," available at:
<http://www.whitehouse.gov/omb/circulars/a130/a130trans4>

13 Department of Defense Privacy Program, DOD 5400-11R, available at:
<http://www.dtic.mil/whs/directives/corres/pdf/540011r.pdf>