

# U.S. Department of Energy

*Implementing the President's Management Agenda for Expanding E-Government*

## E-Government Progress Report

**Fiscal Year 2004:**

*The Road to Green Continues...*



**Chief Information Officer**

*June 2004*

## *Message from the Chief Information Officer*

*The Department of Energy's E-Government Strategy for fiscal year 2004 continues to directly support the President's Management Agenda, the Federal Lines of Business initiative, as well as the Department's core mission requirements by evaluating and applying new information technologies and modernizing the way we govern, unify core applications through a secure environment, and simplify access to energy related government services. We are continually seeking to create more internal efficiencies and improve the Department's service delivery through innovative use of information technology.*

*I am personally delighted to lead the Department of Energy in these E-Government efforts. I look forward to a revitalized government that fully implements the basic principles of the President's Management Agenda. Finally, I am proud to report that we are making significant progress in E-Government both in our ability to meet the goals of the President's Management Agenda as well as in our ability to internally address the needs of our communities of interest and key stakeholders.*



**Rosita O. Parkes, Chief Information Officer**

*June 15, 2004*

## Table of Contents

I.	Executive Summary _____	1
II.	E-Governance _____	2
III.	The Department’s Support for the President’s Management Agenda _____	3
	Presidential Priority E-Government Initiatives _____	3
	Government to Citizen (G2C): _____	4
	Government to Business (G2B): _____	4
	Government to Government (G2G): _____	6
	Internal Efficiency and Effectiveness: _____	8
	Cross-Cutting Initiative: _____	12
IV.	The Department’s Support to the Federal Government Lines of Business _____	13
	Financial Management _____	14
	Human Resources Management _____	15
	Grants Management _____	16
V.	The Department’s E-Government Activity _____	17
	Government to Citizen (G2C): _____	18
	Government to Business (G2B): _____	20
	Government to Government (G2G): _____	21
	Internal Efficiency and Effectiveness: _____	22
VI.	Overview of the Department’s Additional E-Government Activity _____	26
VII.	The Road Ahead _____	27
 <u>Appendices</u>		
1	Acronyms Used in This Report _____	29
2	Legislation Affecting E-Government at the Department of Energy _____	30

# I. Executive Summary

The Department of Energy E-Government Strategy for fiscal year 2004 continues to directly support the President's Management Agenda, the Federal Lines of Business initiative, as well as the Department's core mission requirements by evaluating and applying new information technologies and modernizing the way we govern, unify core applications through a secure environment, and simplify access to energy related government services. Our goal is to adhere to the three basic principles established by the President's Management Agenda:

1. **To be Citizen-centered**, not bureaucracy or agency-centered;
2. **To be Results-oriented**, producing measurable improvements for citizens; and
3. **To be Market-based**, actively promoting innovation.

We are continually seeking to create more internal efficiencies and improve the Department's service delivery through innovative use of information technology. To this end, we have instituted a uniform and focused governance process for E-Government. This process ensures that the Department's internal E-Government efforts are consistent with the overall objectives of the President's Management Agenda as well as the Department's Strategic Plan and related Information Management plans and processes. The objective is to identify opportunities that will reduce the cost of government and improve services to citizens through either the elimination or consolidation of duplicative systems and services that result in measurable business performance improvements.

## II. E-Governance

The Chief Information Officer provides advice and assistance to the Secretary of Energy and other senior managers to ensure that information technology is acquired and information resources are managed in a manner that implements the policies and procedures of relevant legislation. Examples of significant legislative and regulatory guidance impacting these activities include the Government Paperwork Elimination Act of 1998, the E-Government Act of 2002, the Clinger-Cohen Act of 1996, the Federal Information Security Management Act, OMB Circular A-130, the Government Performance Results Act of 1993, the Federal Enterprise Architecture, and the President's Management Agenda. (This guidance is described in Appendix 2.)

The Department of Energy views information technology and E-Government as critical components needed to achieve the Department's goals. The Department will use information technology to ensure the effective management, development, and support of E-Government initiatives used and shared in a secure and cost-effective manner. In the third quarter of fiscal year 2004, the Office of Chief Information Officer drafted a charter to formalize the implementation of the Innovative Department of Energy E-Government Applications (IDEA) Council. This is a cross-functional group of information technology and operations project leaders established to provide recommendations on new E-Government initiatives and investments that are in line with the Department's Integrated Enterprise Architecture.

Additionally, E-governance is integrated with information technology planning and execution processes, the Information Resource Management Strategic Plan, Enterprise Architecture, and the information technology Capital Planning and Investment Control process. Operational information technology governance ensures that the Department's E-Government initiatives reflect the organization's mission and strategic goals, and are in line with the Integrated Enterprise Architecture.

### III. The Department’s Support for the President’s Management Agenda

#### Presidential Priority E-Government Initiatives

The Department of Energy (DOE) continues to support the President’s E-Government Initiatives. DOE began its E-Government business transformation as a participating member of the government-wide Quicksilver Task Force convened by the President’s Management Council and the Office of Management and Budget (OMB). Participants identified government projects to be delivered across the Federal government to significantly improve productivity and performance. Of the 24 Quicksilver initiatives and a later cross-cutting initiative (See Table 2 below), DOE became a participating partner agency or active participant in eighteen initiatives. These initiatives are categorized as Government-to-Citizen (G2C) service, Government-to-Business (G2B), Government-to-Government (G2G), as well as internal efficiency and effectiveness.

<b>Presidential Priority E-Government Initiatives</b>	
Initiative	Lead Agency
<b>Government to Citizen (G2C)</b>	
<b>GovBenefits.com</b>	<b>Department of Labor</b>
EZ Tax Filing	Department of Treasury
Online Access for Loans	Department of Education
Recreation One-Stop	Department of the Interior
<b>Government to Business (G2B)</b>	
<b>e-Rulemaking</b>	<b>Environmental Protection Agency</b>
<b>Business Gateway</b>	<b>Small Business Administration</b>
<b>Consolidated Health Informatics</b>	<b>Department of Health and Human Services</b>
<b>Federal Asset Sales</b>	<b>General Services Administration</b>
Simplified Tax & Wage Reporting System	Department of Treasury
USA Services	General Services Administration
International Trade Process Streamlining	Department of Commerce
Online Rulemaking Management	Department of Transportation
<b>Government to Government (G2G)</b>	
<b>Geospatial One-Stop</b>	<b>Department of the Interior</b>
<b>Disaster Management</b>	<b>Department of Homeland Security</b>
<b>SAFECOM</b>	<b>Department of Homeland Security</b>
<b>Grants.gov</b>	<b>Department of Health and Human Services</b>
e-Vital	Social Security Administration
<b>Internal Efficiency and Effectiveness</b>	
<b>GoLearn</b>	<b>Office of Personnel Management</b>
<b>Recruitment One-Stop</b>	<b>Office of Personnel Management</b>
<b>Enterprise HR Integration</b>	<b>Office of Personnel Management</b>
<b>e-Clearance</b>	<b>Office of Personnel Management</b>
<b>e-Payroll</b>	<b>Office of Personnel Management</b>
<b>e-Travel</b>	<b>General Services Administration</b>
<b>Integrated Acquisition Environment</b>	<b>General Services Administration</b>
<b>e-Records Management</b>	<b>National Archives and Records Administration</b>
<b>Cross-Cutting Initiative</b>	
<b>e-Authentication</b>	<b>General Services Administration</b>

Table 2: E-Government Initiatives (Note: Initiatives with DOE involvement are identified in **bold**.)

These initiatives have been further enhanced by the Government-wide focus on cross-agency lines of business initiatives described in Chapter IV. A description of the eighteen initiatives in which the Department is involved is described below.

### Government to Citizen (G2C):

- **GovBenefits.Gov (PMA Lead Agency: Department of Labor):** Provides citizens with access to information on all government benefit programs and services through a common Internet website. The website ([www.govbenefits.gov](http://www.govbenefits.gov)) guides citizens to a list of benefits they may be eligible to receive. GovBenefits.Gov provides program descriptions and contact information for each benefit program. A primary goal of this initiative is to reduce the amount of time individuals must spend trying to identify and access relevant information about government benefit programs. The long-term vision for the site is to enable individuals to actually apply for benefits online through a streamlined application process.

#### **DOE Involvement:**

DOE is a partner on this initiative. Through the signing of a Memorandum of Understanding (MOU) and interagency agreement, DOE provided 2004 funding to support this initiative. This initiative cuts across several DOE Program and Staff Offices (the Office of Management, Budget and Evaluation, the Office of the Assistant Secretary for Energy Efficiency and Renewable Energy, and the Chief Information Officer). The Office of the Chief Information Officer has the program lead for this initiative.

The Department's Weatherization Assistance Program for Low-Income Persons is integrated with the GovBenefits.gov website. DOE continues to examine other benefit programs for potential integration and has designated a liaison to serve as the point of contact and to participate in the working groups and configuration control boards.

### Government to Business (G2B):

- **e-Rulemaking (PMA Lead Agency: Environmental Protection Agency):** Allows citizens to easily access and participate in the Federal rulemaking process. It improves the access to, and quality of, the rulemaking process for individuals, businesses, and other government entities while it streamlines and increases the efficiency of internal agency processes. The E-Rulemaking initiative ([www.regulations.gov](http://www.regulations.gov)) is a cross-cutting initiative with a focus on the development of a Government-wide Federal Docket Management System.

#### **DOE Involvement:**

DOE is a partner on this initiative. Through the signing of a MOU and an interagency agreement, DOE provided funding to support this effort. DOE, as a participating agency, has designated staff to participate on the Governance

Board, Advisory Board, and various working groups that support this initiative. The Office of General Counsel, in partnership with the Office of the Chief Information Officer, has the program lead for this initiative.

Accomplishments include:

- Created a link on the DOE web page to the government-wide web site for receipt of comments on pending notices of proposed and interim final rulemaking.
  - Modified the boilerplate for the Supplementary Information section of such notices to alert members of the public as to how to submit comments through the government-wide web site.
  - Accepted and processed public comments through the government-wide web site.
- **Business Gateway (Formerly Business Compliance One-Stop) (PMA Lead Agency: Small Business Administration):** Reduces the burden on businesses by making it easy to find, understand, and comply (including submitting forms) with relevant laws and regulations at all levels of government. The Business Gateway Initiative ([www.business.gov](http://www.business.gov)) consists of two main parts: the Business Gateway Portal and the E-Forms Portal. The Business Gateway Portal will be the single access point for businesses on government programs, services and information needed to start, run, and grow a business. It will also provide businesses with the tools to find information to comply with Government laws and regulations. In addition, the initiative will begin streamlining the data collected on Federal forms for five industries to reduce the number of forms and related paperwork burden for those industries by ten percent. The E-Forms Portal is a single location for Government forms used by businesses and citizens. The E-Forms Portal will also create a common Government-wide infrastructure for managing forms.

**DOE Involvement:**

DOE is a partner on this initiative and will provide funding in 2005. A MOU was signed on May 4, 2004. This initiative cuts across several Program Offices and Staff Offices (the Office Economic Impact and Diversity, the Office of Management, Budget and Evaluation, and the Office of the Chief Information Officer). The Office of Economic Impact and Diversity has the program lead for this initiative.

DOE designated a point of contact that serves on the Governance Board and provides a representative on the portal and E-Forms working groups. The business gateway portal is the electronic forms catalogue that enables citizens and businesses to find the right forms, instructions and requirements, and to file them electronically. DOE has incorporated forty-seven forms into this electronic portal.



- **Consolidated Health Informatics (PMA Lead Agency: Department of Health and Human Services):** Adopts a portfolio of existing health information interoperability standards (health vocabulary and messaging) enabling all agencies in the Federal health enterprise to “speak the same language” based on common enterprise-wide business and information technology architectures.

**DOE Involvement:**

No transfer of funding was required to participate in this initiative in 2004. DOE contributes to this initiative through the assignment of an Office of Chief Information Officer representative and participates in interagency activities.

- **Federal Asset Sales (PMA Lead Agency: General Services Administration):** Identifies, recommends, and implements improvements for asset recovery and disposition that make it easier for agencies, businesses, and citizens to find and acquire Federal assets ([www.firstgov.gov](http://www.firstgov.gov)).

**DOE Involvement:**

A MOU was signed on January 28, 2004. No transfer of funds was required for DOE to participate in this initiative in 2004. DOE contributes to this initiative through the assignment of an Office of Management, Budget and Evaluation representative and participates in interagency committees.

**Government to Government (G2G):**

- **Geospatial One-Stop (PMA Lead Agency: Department of the Interior):** The Geospatial One-Stop portal ([www.geodata.gov](http://www.geodata.gov)) makes it easier, faster, and less expensive for all levels of government and the public to access geospatial information. Geospatial One-Stop will provide tools for all levels of government to work together more effectively to:
  - Facilitate sharing of geospatial information;
  - Improve planning for future investments in geospatial data;
  - Expand collaborative partnerships that help leverage investments and reduce duplication; and
  - Collaborate on the development and implementation of standards that encourage sharing and use of best practices.

**DOE Involvement:**

Representatives from the Energy Information Administration and the Chief Information Officer serve as co-leads and participate in interagency meetings. DOE established a complex-wide Geographic Information System Core Team to contribute to this initiative. The team is adopting the Federal Geographic Data Committee framework to develop a list of base layer data that all DOE sites would release as a first step. The team will take advantage of the capability now available for any agency to publish work products on the portal. The portal provides a simplified registration process and automatic processing

of data. Users can share data and planned investments by publishing to the portal.

- **Disaster Management (PMA Lead Agency: Department of Homeland Security):** Initially designed to focus on providing information and services related to the four pillars of disaster management: preparedness, response, recovery, and mitigation. Later phases will incorporate delivery of integrated, cross-agency processes and services to citizens, governments, and non-government organizations with emphasis on first responder needs. The initiative will support a multitude of Federal agency missions including the Federal Emergency Management Agency's mission to reduce the loss of life and property and protect our institutions from all hazards. The partnerships established will support the Federal mission to provide the nation a comprehensive, risk-based emergency management program ([www.disasterhelp.gov](http://www.disasterhelp.gov)).

**DOE Involvement:**

The Office of the Assistant Secretary for Environmental Safety and Health has the program lead for this initiative and participates in interagency committees.

- **SAFECOM (PMA Lead Agency: Department of Homeland Security):** Serves as the umbrella program within the Federal government to help local, tribal, state and Federal public safety agencies improve public safety response through more effective and efficient interoperable wireless communications. As a public safety practitioner driven program, SAFECOM ([www.safecomprogram.gov](http://www.safecomprogram.gov)) is working with existing Federal communications initiatives and key public safety stakeholders to address the need to develop better technologies and processes for the cross-jurisdictional and cross-disciplinary coordination of existing systems and future networks.

**DOE Involvement:**

DOE is a partner on this initiative and has participation from nine DOE program offices. A MOU was signed on March 29, 2004, and DOE provided funding in 2004. Involvement includes:

- Complying with SAFECOM guidance for public safety communications grants;
- Leveraging SAFECOM technical standards;
- Identifying program and system development requirements; and
- Participating in SAFECOM governance.

The Office of the Chief Information Officer has the lead for this initiative.

- **Grants.gov (Formerly E-Grants) (PMA Lead Agency: Department of Health and Human Services):** The Grants.gov ([www.grants.gov](http://www.grants.gov)) initiative assists applicants and grantees in their efforts to streamline processes and reduce the burden associated with searching for Federal grant opportunities and completing disparate applications of Federal agencies and grant programs. The Grants.gov portal ("the Storefront") will provide electronic functionality for applicants and grantees and begin to reduce the paper-based processes that currently challenge the Federal grants environment. Specifically, Grants.gov enables the Government to meet many of the streamlining

activities required by Public Law No. 106-107 and called for in the PMA, such as deploying a unified search capability for grant opportunities, standardizing data sets, and establishing a common mechanism and processes for applying for Federal grant funds.

**DOE Involvement:**

DOE is a partner on this initiative. The initiative has participation from four DOE program offices. A MOU and an Interagency Agreement was signed on March 19, 2004, that provided funding for the project in 2004.

DOE has already met the objective to transmit 100% discretionary grant opportunity notices to Grants.gov. DOE also developed a standard announcement template for the Department's discretionary grants announcements. DOE currently participates in the Grants.gov "Apply" pilot and in the development of the application package for submissions of research and related financial assistance applications for the entire Federal Government. The Office of Management, Budget and Evaluation has the program lead for this initiative.

**Internal Efficiency and Effectiveness (IEE):**

- **GoLearn (formerly e-Training) (PMA Lead Agency: Office of Personnel Management):** Creates a premier e-training environment that supports development of the Federal workforce through simplified one-stop access to high quality e-training products, services and advances the accomplishment of agency missions through [www.golearn.gov](http://www.golearn.gov). This initiative provides the following benefits:
  - Reduces redundancies and achieves economies of scale in the purchase of learning technology software and course content;
  - Leverages components of existing systems;
  - Offers user-friendly, one-stop access to a robust and high-quality electronic training environment of content and educational support tools; and
  - Encourages effective and efficient e-Learning investment as part of a Government-wide commitment to strategic, systematic, and continuous development of Federal human capital.

**DOE Involvement:**

DOE is a partner on this initiative and signed a MOU on April 1, 2004, with associated 2004 funding. DOE will transition to the GoLearn Learning Management System in late 2004. Accomplishments include a migration needs assessment development plan and an Interagency Agreement for business requirements. The Office of Management, Budget and Evaluation has the program lead for this initiative.

- **Recruitment One-Stop (PMA Lead Agency: Office of Personnel Management):** Outsources delivery of the USAJOBS Federal Employment Information System to

deliver state-of-art on-line recruitment services to job seekers. The website ([www.usajobs.opm.gov](http://www.usajobs.opm.gov)) facilitates intuitive job searches, on-line resume submission, applicant data mining, and on-line feedback on status and eligibility.

**DOE Involvement:**

DOE successfully implemented Recruitment One-Stop as the front end to the Department's QuickHire system and is in the process of coordinating the phased implementation of all QuickHire upgrades. DOE contributes to this initiative through Office of Management, Budget and Evaluation representation and participation in the interagency committees.

- **Enterprise Human Resources Integration (PMA Lead Agency: Office of Personnel Management):** Streamlines and automates the electronic exchange of standardized human resource data needed for creation of an official employee record across the Executive Branch. The initiative provides comprehensive knowledge management, workforce analysis, forecasting, and reporting across the Executive Branch for the strategic management of human capital ([www.opm.gov/egov/EHRI\\_overview.asp](http://www.opm.gov/egov/EHRI_overview.asp)).

**DOE Involvement:**

DOE is an active participant through Office of Management, Budget and Evaluation representation in interagency meetings and task force involvement in defining requirements for the workforce analysis. DOE experts in payroll, personnel and benefits have assessed the list of 500+ proposed data elements and are ready to provide the results to the Office of Personnel Management.

- **e-Clearance (PMA Lead Agency: Office of Personnel Management):** Streamlines the investigation process for an employee's security clearance. With the Electronic Questionnaires for Investigations Processing, the application, delivery and processing of the Standard Form 86 security clearance application will move from a paper-based process to an automated, secure, and on-line electronic format. The first component (Module 1) is a new electronic form that eliminates the need to re-enter information that has not changed since a person's last clearance. Module 1 is complete. All other investigative forms will soon be added to e-Clearance.

The second component (Module 2) of the e-Clearance initiative is development and implementation of a cross-agency Clearance Verification System. This initiative captures the concept of providing access for all authorized agency users to the personnel security investigation and clearance records of the government. The third component of e-Clearance (Module 3) is to image investigative records held by the myriad investigative agencies and make them available, among all authorized Federal users, electronically. By doing so, e-Clearance will facilitate the exchange of previous investigative results thereby maximizing cost avoidance by eliminating redundancy.

**DOE Involvement:**

DOE is a partner on this initiative. Work is ongoing to integrate the Department's eGovernment DOE Integrated Security Systems (eDISS+) project, which is an Innovative Department of Energy E-Government Applications (IDEA) initiative. The e-DISS+ concept is to streamline the security investigation process and is synonymous with the e-Clearance concept. The Department's e-DISS+ system has migrated to automated forms and is able to process the Standard Form 86, Security Clearance application form, electronically to the Office of Personnel Management. e-DISS+ is further addressed beginning on page twenty-one of this report. The Office of Security and Safety Performance Assurance has the program lead.

- **e-Payroll (PMA Lead Agency: Office of Personnel Management):** Consolidates twenty-two Federal payroll systems to simplify and standardize Federal human resources payroll policies and procedures to better integrate payroll, human resources, and finance functions.

**DOE Involvement:**

DOE is an active participant with this initiative. On September 21, 2003, DOE converted to the Defense Finance Accounting Service payroll system and the first payroll was completed on October 9, 2003. The Office of Management, Budget and Evaluation has the program lead for this initiative.

- **e-Travel (PMA Lead Agency: General Services Administration):** Provides a government-wide, web-based service ([egov.gsa.gov](http://egov.gsa.gov)) that applies world-class travel management practices to consolidate Federal travel, minimize cost and produce superior customer satisfaction. From travel planning and authorization to reimbursement, e-Travel will leverage administrative, financial and information technology best practices to realize significant cost savings and improve employee productivity.

**DOE Involvement:**

DOE is a partner on this initiative and signed a MOU on March 24, 2003. DOE completed its migration plan for e-Travel on March 31, 2004. The Department of Energy will defer its decision to migrate to e-Travel to early 2005 based on cost analysis, testing, and lessons learned from other agencies. The Office of Management, Budget and Evaluation has the program lead for this initiative.

- **Integrated Acquisition Environment (PMA Lead Agency: General Services Administration):** Supports a common, secure business environment that facilitates cost-effective acquisition of goods and services by agencies and interoperates with multiple E-Government initiatives while eliminating inefficiencies in the current acquisition environment. Integrated Acquisition Environment business areas are:
  - **Business Partner Network** – Deploy a single point of registration and validation of supplier data accessed by all agencies;

- **Intra-Governmental Transactions** – Transform intra-governmental ordering and billing, reduce payment and collection problems, and enable swift and accurate revenue and expense elimination processes for preparing consolidated financial statements;
- **eMarketplace** – Create an online directory of Government-wide Acquisition Contracts and multi-agency contracts to simplify selection and facilitate leverage of government buying; and
- **Acquisition Information Reporting** – Implement a central point for consolidated collection and access of statistical and management information related to government acquisitions.

#### **DOE Involvement:**

DOE signed a MOU and an Interagency Agreement with associated funding in March 2004. DOE actively supports the development and deployment of these initiatives. The Office of Management, Budget and Evaluation has the program lead for this initiative.

#### Business Partner Network

DOE established connectivity to the Central Contractor Registration and modified its contracts to mandate that its contractors are registered as required by the recently-revised Federal Acquisition Regulation. Also, information in the Central Contractor Registration is being used as the single authoritative source of information for reporting contracting actions to the Federal Procurement Data System - Next Generation. DOE has taken steps to become registered in the Federal Agency Registration.

DOE personnel participate as members of the Electronic Subcontracting Reporting System team and the Department has provided its Subcontract Reporting System as a model for the final Electronic Subcontracting Reporting System solution.

#### Intra-Governmental Transactions

DOE actively supports the development of the Intra-governmental Transactions Exchange. Although this initiative is currently on hold pending a review of the pilot, DOE took steps to register the Department in the Federal Agency Registration and continues to examine DOE's records for transactions that require modification.

#### eMarketplace

DOE supports the Interagency Contracts Directory initiative through the identification and posting of information to the government-wide website. DOE continues to support the Federal business opportunities with 100% of its acquisition business opportunity announcements being posted via a machine-to-machine interface.

### Acquisition Information Reporting

DOE modified its existing system (the Procurement and Assistance Data System) in 2004 to interface with the Federal Procurement Data System - Next Generation. A transition plan is being implemented to eliminate usage of the DOE system and move to direct data entry in Federal Procurement Data System during fiscal year 2005. This process will be replaced by an electronic interface with the implementation of the DOE's corporate electronic procurement system.

- **E-Records Management (PMA Lead Agency: National Archives and Records Administration):** Provides policy guidance to help agencies better manage their electronic records, so that records information can be effectively used to support timely and effective decision making, enhance service delivery, and ensure accountability. Four major areas include:
  - Correspondence management;
  - Enterprise-wide electronic records management;
  - Electronic information management standards; and
  - Transferring permanent records to the National Archives and Records Administration.

### **DOE Involvement:**

DOE is a partner on this initiative and is the lead agency on the Correspondence Management area. The Office of the Chief Information Officer has the lead and has designated a liaison for this initiative.

### Cross-Cutting Initiative:

- **E-Authentication (PMA Lead Agency: General Services Administration):** This initiative minimizes the burden on businesses, public and government when obtaining services on-line through the provision of a secure infrastructure for on-line transactions. This eliminates the need for separate processes for the verification of identity and electronic signatures.

### **DOE Involvement:**

DOE is a partner with the General Services Administration on this initiative. DOE signed a MOU on March 9, 2004 and provided funding in 2004. In 2005, DOE will implement its Federal Enterprise Architecture Framework compliant with e-Authentication strategy. DOE will enhance its Enterprise Cyber Security Training Program to assist stakeholders in the information systems alignment with this framework. The Office of the Chief Information Officer has the program lead for this initiative.

## IV. The Department’s Support to the Federal Government Lines of Business

The Federal government has core business functions (lines of business) in each agency that provide the business infrastructure support to carry out their programmatic missions. Although these core business functions have common similarities, each agency has independently developed and implemented corporate systems to support these requirements.

Building upon the efforts of the Federal Enterprise Architecture Program to support the President’s Management Agenda for E-Government, on March 22, 2004, the Office of Management and Budget (OMB) announced a new Line of Business Initiative. This initiative seeks to develop business-driven, common solutions for five Lines of Business that span across the Federal government. The five (5) Federal Lines of Business with the lead agencies OMB identified are:

LINES OF BUSINESS	AGENCY TEAM LEAD
Financial Management	Department of Energy Department of Labor
Human Resources Management	Office of Personnel Management
Grants Management	Department of Education National Science Foundation
Federal Health Architecture	Health & Human Services
Case Management	Department of Justice

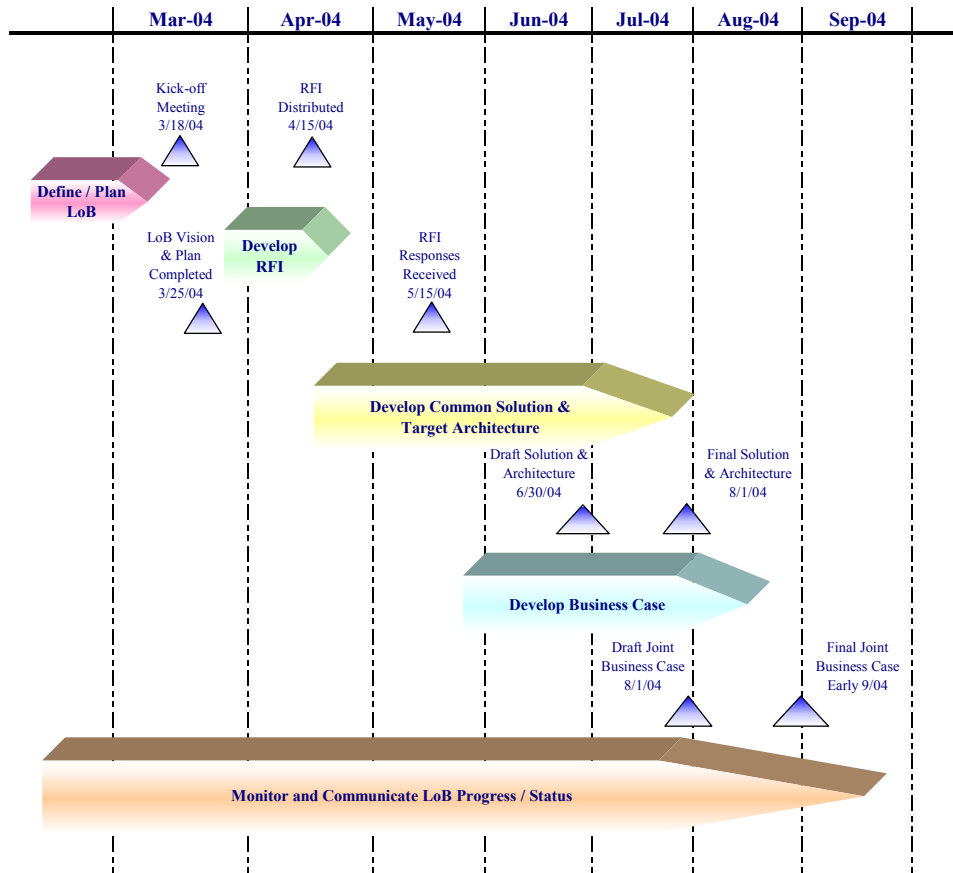
*Table 3: Lines of Business & Agency Team Leads*

Driven from a business perspective rather than a technology focus, the solutions will address distinct business improvements to enhance government’s performance and services for citizens. The end result of the Lines of Business efforts will be to save taxpayer dollars, reduce administrative burden, and significantly improve service delivery.

Interagency teams were established to examine business and information technology data and best practices for each line of business. Throughout a six-month effort that started in March 2004, these agency-led teams are drafting and finalizing common solutions and a target architecture reflected in business cases submitted as part of the fiscal year 2006 budget. The business cases may include a strategy for meeting the goal by the possible consolidation of multiple business processes that currently operate for each line of business, integration of existing operations, and a shared service provider arrangement. A summary timeline of these efforts is shown in Figure 1.



## *High-Level Lines of Business Timeline*



*Figure 1: High-Level Lines of Business Timeline*

The Department of Energy (DOE) is leading or participating in a number of cross-cutting E-Government efforts that will have significant impact on the way the Government does business. DOE, in partnership with the Department of Labor, is a managing partner for the Financial Management line of business and a partner in two of the other four Federal Lines of Business – Human Resource Management and Grants Management.

### **Financial Management**

OMB designated DOE and the Department of Labor as the managing partners to lead this six-month high-priority, collaborative, Financial Management Line of Business initiative. DOE and the Department of Labor, in collaboration with seven partner agencies, will identify a Federal wide financial management solution that adheres to the Federal Enterprise Architecture, improves performance, and reduces 120 overlapping financial management systems that perform transaction processing in the areas of general ledger, accounts receivable, accounts payable, project cost accounting, funds management, and reporting.

The common Federal financial software solution, through standardization of business processes and consolidation of services, will improve the efficiency and accuracy of financial reports and reduce the cost of acquiring, implementing, and maintaining financial business systems throughout the Government.

**Status:**

- Formed interagency task force, with approved charters, governance board, and executive sponsor. Identified staff to populate three major sub working groups, and identified appropriate funding for the initiative from the nine partner agencies.
- Developed common language for inclusion in the nine partner agencies Financial Management Development Modernization & Enhancements 300 submissions to OMB in fiscal year 2004 and 2005.
- Developed a Request for Information on the Financial Management Line of Business for industry and government respondents.
- Conducted Government & Industry Day to inform industry and government parties of the scope and requirement for responding to the government Request for Information for a common Federal Financial Management Solution in conformance with the Federal Enterprise Architecture.
- Developed and provided Enterprise Architecture baseline inventory of the nine partner agencies.

## Human Resources Management

DOE is participating in the Human Resources Management Line of Business that is managed by the Office of Personnel Management. To date, twenty agencies comprise the Human Resources Management Line of Business Inter-agency Task Force. The collaboration will produce a modern, cost-effective, standardized, and integrated Human Resource Information Solution that will reduce the overlap of seventy human resource systems.

The common software solution will: (1) improve the government wide management of human capital by providing faster decision making, more informed policy making, more effective workforce management, and improved resource alignment with agency missions; (2) achieve or increase operational efficiencies in the implementation and operation of human resources management systems with improved servicing response times, reduced cycle times and improved automated reporting; (3) increase cost savings, or achieve cost avoidance, from human resource solution activities (software, hardware and operations); and (4) improve service through increased accessibility to the customer.

**Status:**

- Formed interagency task force comprised of twenty partner agencies, developed draft charter and governance structure, and identified executive sponsor and managing partner.

- Identified staff to populate three major sub working groups, and identified appropriate funding for the Line of Business initiative from the twenty partner agencies.
- Developed Federal Enterprise Architecture baseline inventory for human resources related activities of responding agencies.
- Completed Government Response to the Request for Information including an initial conceptual framework for the Common Solution(s) to this business line.
- Initiated response review and articulated framework for Request for Information response idea inclusion for Common Solution(s) and Concept of Operations.

## Grants Management

DOE is participating in the Grants Management Line of Business Task Force managed jointly by the Department of Education and the National Science Foundation. To date, nineteen agencies comprise the Grants Management Line of Business Inter-agency Task Force focused on simplifying the grant processes for the stakeholder.

The current grants program consists of over 900 programs in twenty-six major “grant-making” agencies. Efforts are focusing on providing a centralized and streamlined common solution that will simplify the grants processes at these 26 Federal agencies.

The common software solution, aligned with the Federal Enterprise Architecture model, will: (1) improve customer access to grant opportunities; (2) increase efficiency of the grant submission process; (3) improve decision making; (4) integrate with Financial Management processes; (5) improve the efficiency of the reporting procedures; and (6) optimize the post-award and closeout actions.

### Status:

- Conducted survey of partners to determine "as-is" state of grants management applications and opportunities for a common solution.
- Documented grants business process steps to cover both government or grantor side and the customer or grantee side.
- Developed the Request for Information on the Grants Management Line of Business for industry and government respondents.
- Standing up working groups to evaluate responses to the Request for Information and develop common solution and target architecture.

## V. The Department's E-Government Activity

The Office of Management and Budget (OMB) has recently recognized the efforts of the Department of Energy (DOE) in implementing E-Government and supporting the President's Management Agenda (PMA). In a report on "Progress on President's Management Agenda Accelerates", OMB stated:

*"The Department of Energy (DOE) and the Office of Personnel Management have made the most progress since the launch of the President's Management Agenda in August 2001...These agencies [DOE and the Office of Personnel Management] are leading the pack with regard to management improvement and are furthest along to becoming the well managed, results-oriented organizations we want the whole government to become."*

To further implement this PMA item of E-Government within the Department, DOE initiated the Innovative Department of Energy E-Government Applications (IDEA) project. In the third quarter of fiscal year 2004, the Office of the Chief Information Officer drafted a charter to formalize the implementation of the IDEA Council. IDEA focuses on the elimination of information technology redundancies, the provision of cost savings through streamlined information technology activities, and change management associated with organizational realignments to maximize information technology efficiencies within the Department of Energy. The IDEA initiatives, originally outlined in the "*E-Government Strategic Action Plan: A Road Map for Delivering Services*" dated October 2002, address the four key areas for government reform through the use of E-Government as outlined in the PMA:

- Government to Citizen (G2C);
- Government to Business (G2B);
- Government to Government (G2G); and
- Internal Efficiency and Effectiveness

As a result of the IDEA project, DOE identified nineteen initiatives for examination and application. Each of these initiatives is identified in Table 4 and their respective status is further described in the paragraphs that follow.

**Department of Energy  
IDEA Initiatives**

<b>Initiative</b>	<b>Status</b>
<b>Government to Citizen (G2C)</b>	
Department Web Presence	Complete
Streamlined FOIA Processing	On-going
Streamlined Departmental Grants Processing	On-going
Energy Employees Occupational Illness Compensation	On-going
<b>Government to Business (G2B)</b>	
e-R&D Portfolio Management, Tracking and Reporting	On-going
e-Assessment of FOCI Companies	On-going
Intellectual Property Portfolio Online	Complete
<b>Government to Government (G2G)</b>	
e-Signatures	Merged w/ e-Authentication
Nuclear Materials Accountability	On-going
CN e-Case Management System	On-going
e-Gov Department Integrated Security System	On-going
<b>Internal Efficiency and Effectiveness</b>	
I-MANAGE: STARS	On-going
I-MANAGE: Budget System	On-going
I-MANAGE: Enterprise Human Resources	On-going
I-MANAGE: Integrated Document Management System	On-going
I-MANAGE: e-Procurement	On-going
I-MANAGE: Data Warehouse	On-going
Consolidated DOE intranet	On-going
EXCITE (Extended Common Integrated Technology Environment)	On-going
Secure network Services	On hold pending review

*Table 4: DOE IDEA Initiatives*

**Government to Citizen (G2C):**

- **Departmental Web Presence:** Involves the creation of a Departmental website organized around the principle strategic objectives of the Department and standardizes the layout and content of individual Program and Staff office websites. It provides an opportunity to inform and educate the public on the vital roles the Department plays in the advancement of the National Energy Policy, assuring national security, and the promotion of science and technology research and development, all accessible from one primary website.

**Status:**

Complete. DOE launched a new, citizen-centric, Internet presence at [www.Energy.gov](http://www.Energy.gov).

- **Streamlined FOIA Processing:** Enables citizens to electronically initiate Freedom of Information Act (FOIA) requests and access documents released to the public through a common web-based application. As a result, FOIA request response times are reduced and the process simplified.

**Status:**

The streamlined FOIA project has been merged into the I-MANAGE Integrated Document Management System initiative. On March 18, 2004, a decision was made by the Department to integrate eFOIA into a corporate enterprise system that includes Integrated Document Management System, Knowledge Management, and the Concurrence Process utilizing a standard Portal platform. A project manager has been assigned to implement this corporate enterprise system.

- **Streamlined Departmental Grants Processing:** Will involve the development of recommendations for the improvement of the existing grants (financial assistance) management and administration process. This project supports the mandates of Public Law 106-107, *Federal Financial Assistance Management Improvement Act of 1999*, which was established to improve the effectiveness and performance of Federal financial assistance programs, simplify Federal financial assistance application and reporting requirements, improve the delivery of services to the public, and facilitate greater coordination among those responsible for the delivery of the services.

This initiative will interface with the Federal government-wide Grants.gov system and provide grant seekers access to all DOE grant funding opportunity announcements from a common portal and the ability to electronically submit grant applications.

**Status:**

A business reengineering study has been conducted to capture the current state of DOE grants management and generate recommendations for improving the grants process. The final report contains 80 recommendations in the area of automation, communication, training, policies, and procedures. Recommendations are being reviewed within the Department to determine the feasibility and priorities for implementation.

- **Energy Employees Occupational Illness Compensation Initiative (formerly known as E-Med Claims):** Transforms the Department's ability to support worker claims (e.g., Federal, contractor, or beneficiary) pursuant to the Energy Employees Occupational Illness and Compensation Program Act of 2000 (Public Law 106-398).

**Status:**

Completed a redesigned web page ([www.eh.doe.gov/advocacy](http://www.eh.doe.gov/advocacy)). This increases the web page's efficiency of information search and retrieval and improves its navigational capabilities. The project's system upgrades are complete and functionality for the stakeholders is accomplished. The system will continue to be enhanced in response to new technology.

## Government to Business (G2B):

- **e-R&D Portfolio Management, Tracking and Reporting:** Supports the research and development (R&D) management function of mission organizations through a unified electronic system for reviewing, tracking, managing, and reporting the Department's research and development activities from project inception to closeout. It will provide for seamless information sharing across corporate systems, expedient transmittal of work authorizations and related guidance, and an interface with other E-government initiatives.

### **Status:**

Module 1 (Electronic Receipt and Review) was successfully tested in April 2004. This testing confirmed that this module will meet the Department's business needs for the electronic receipt and review of national laboratory proposals for new and ongoing R&D activities. A business needs assessment for the second and final Module (Electronic Portfolio Management) has been initiated and full deployment is planned by September 30, 2004.

- **e-Assessment of Foreign Owned, Controlled or Influenced (FOCI) Companies:** The existing process is highly paper intensive. It consists of a large initial submission package, annual re-certification, significant change forms, and a full review submission every five years for each active contractor. This initiative automates the existing paper process for determination and identification of FOCI companies.

A web-based computer system will be developed in three phases to transform this inefficient paper-based process. The first phase is the FOCI website for contractor registration. The second phase is the FOCI Processing Site, an internal DOE intranet. The third phase is the Analytical Tools Module which will provide DOE with the capability to analyze the FOCI automatically-stored data.

### **Status:**

Phase I (E-FOCI Electronic Submission Site) for contractor registration is complete and operational. Development efforts on Phase II (E-FOCI Electronic Processing Site) are on schedule and all modules will be completed by the end of fiscal year 2004. Certain modules of Phase II are currently operational and field components and contractors are transitioning to the electronic system. The design of Phase III (Analytical Tools Module) will begin in the fourth quarter of fiscal year 2004, which will provide DOE with the capability to analyze FOCI automatically stored data.

- **Intellectual Property Portfolio Online:** Provides private industry (small business) a single point of entry to the Department's intellectual property portfolio. This portfolio is available for licensing to enhance and accelerate transfer of technology developed by DOE-funded projects as a Government to Business success factor.

**Status:**

Complete. This is available on the DOE website at [techtransfer.energy.gov/](http://techtransfer.energy.gov/).

**Government to Government (G2G):**

- **e-Signatures:** Eliminates the need for manual signatures on official documents by integrating electronic signatures with business, administrative, and program office workflow applications throughout the Department.

**Status:**

e-Signatures will be integrated in fiscal year 2005 with OMB e-Authentication, a Government-wide PMA initiative. (See page twelve.)

- **Nuclear Materials Accountability:** Focuses on examining the various systems that are used to report nuclear material information from DOE field sites to Departmental Headquarters. Phase 1 of the project will result in the creation of a "Current State" fact base that describes how all of these systems interact. Phase 2 of the project will examine policy requirements and customer needs and determine if these needs are being met. Phase 3 will provide DOE with options for improving any shortcomings that may be identified in Phase 2.

**Status:**

Accomplishments to date:

- Established formal program management office to oversee the project;
  - Developed strategy for the collection and analysis of data and the development of a solution;
  - Begun visiting DOE field sites; and
  - Created initial fact base for identifying potential improvement opportunities.
- **CN e-Case Management System:** Provides a system for tracking, disseminating, and managing counterintelligence cases for the Department and permits information sharing on a need-to-know basis with the Federal intelligence community.

**Status:**

Project is on-going, but classified.

- **e-GOV DOE Integrated Security System (eDISS+):** eDISS+ supports the electronic receipt, processing, sharing, and archiving of personnel-security, clearance-related data, as well as an electronic signature capability within DOE and other E-Government partners. Through automating the Questionnaire for National Security Positions (Standard Form 86), eDISS+ eliminates the paper-intensive and time-consuming process for requesting a government security clearance. eDISS+ will also integrate personnel security data and clearance information with Department human resource and access control systems.



**Status:**

DOE completed deployment of the Regional Personnel Security Database at nine of its eleven sites. The development of the Web-based Applicant User Interface module is 100% complete. Work on the centralization of the Regional Personnel Security Database II servers and reengineering of the Personnel Security Interface and Central Personnel Clearance Index applications are in the planning stages. Work is also ongoing to integrate eDISS+ with the E-Government initiative on e-Clearance (*See pages 9 and 10*).

**Internal Efficiency and Effectiveness:**

- **I-MANAGE/STARS and I-MANAGE Standard Budget System (formerly known as Enterprise Financial Management):** Provides the Department with a modern, comprehensive and responsive financial management system. These systems will have the capability to electronically integrate budget formulation, budget execution, accounting, financial reporting, activity based cost management, and performance measurement. The goals and objectives outlined in the DOE 2004 Annual Performance Plan are directly and indirectly supported by the Standard Accounting and Reporting System and the Standard Budget System through best practices for budget planning, budget execution, financial accounting and reporting. These new systems will provide integrated information processing capabilities to better plan, budget, manage, and measure the performance of program activities.

**Status:**

The Standard Accounting and Reporting System baseline requirements and system design were revised to include managerial cost accounting and integration of budget and performance. Existing accounting processes have been documented as well as new Oracle processes defined. The Project Team identified the need to modify Oracle's Purchasing Application Programming Interface in order to integrate automatic entries from the field budget systems, Budget Execution and Formulation System and the Funds Control Distribution System. Conversions and interfaces have been completed and are being tested.

DOE completed the first phase of Standard Accounting and Reporting System User Acceptance and will make an initial implementation feasibility decision on June 15, 2004. Development of custom reports will continue through User Acceptance Testing in July 2004. Security testing and evaluation are progressing to obtain certification and accreditation on schedule for July 2004. Implementation is scheduled for October 2004.

In direct support of the President's desire for cross-agency collaboration, I-MANAGE Program Managers and the Standard Accounting and Reporting System Project Manager have joined the Federal Oracle Users Group. This

provides for inter-agency collaboration through the sharing of ideas and design concepts, the reuse of developed modules and reports, and the presentation of a united front to the software vendor for support and future product direction.

The Department is also working with the Joint Financial Management Improvement Program, the organization responsible for developing Federal financial systems software standards, in developing test scripts for certification of Commercial Off-the-Shelf and Government Off-the-Shelf package financial solutions.

- **I-MANAGE: Enterprise Human Resources:** Will integrate both Headquarters and field strategic human capital functions. This will shift operations from being mostly a paper intensive environment to one of an internal consultant aiding program managers in fulfilling their programmatic missions.

**Status:**

**Actions completed:**

- Federal Employees Health Benefits Open Season
- Automated carrier notification
- General Counsel Standards of Conduct application
- Field migration assistance
- Automated recruitment system to improve hiring process
- Thrift Savings improvements

**Efforts in process:**

- Adding a web-based function for critical skills assessment
- Configuring and implementing e-Performance Management
- Support to personnel classification process

**Integration initiatives:**

- Recruitment One-Stop
- Enterprise Human Resources Integration (non-transactional data repository of standardized core human resources data)
- Human Resource Line of Business (common core of human resources functions across the Federal government)

- **Consolidated DOE Intranet (ePortal):** Provides a secure, single point of entry to all DOE information sources and a variety of web-based services such as collaboration, workflow and document management. To achieve further efficiencies throughout the Department, the ePortal initiative incorporated elements of the Integrated Document Management System, the e-FOIA project, Knowledge Management, and the Concurrence Process. These projects add significant value to the collaborative and informative elements centralized through the ePortal.

**Status:**

DOE conducted a market survey of portal solutions as part of this initiative's advancement. On March 18, 2004, a decision was made by the Department to continue utilizing a standard Portal platform to integrate Integrated Document Management System, e-FOIA, Knowledge Management and Concurrence Process into a corporate enterprise system. A project manager has been assigned to implement this Department-wide system.

- **eXCITE (Extended Common Integrated Technology Environment):** Consolidates common information technology systems and services throughout DOE Headquarters. eXCITE provides a standardized desk-top platform to improve cyber security, service delivery, and operating efficiencies. eXCITE has two phases. The first phase is to implement a Common Operating Environment. The second phase is to implement an Application Hosting Environment.

**Status:**

This multi-year project is on schedule, with a target completion of Phase I in fiscal year 2004. All Headquarters Offices will have an MOU in place with a scheduled migration strategy by the end of fiscal year 2004. Currently, twenty-two of the twenty-six Headquarter offices migrated to eXCITE and are receiving services as outlined in Service Level Agreements.

- **Integrated Document Management System:** An integrated, scalable enterprise-wide system that includes document and records management, correspondence tracking activities. Current systems are not interoperable, do not provide coordinated Departmental responses, are paper-based and incur redundant hardware, software, and services. This will provide enterprise-wide access to documents and records across organizational boundaries in a manner consistent with current technology, security protocols, and government-wide standards. The project will also use, or integrate with, other E-Government projects such as e-Authentication.

**Status:**

Fiscal year 2004 deliverables were: the mission needs statement, project plan, high level requirements, alternatives analysis, risk management plan, cost benefit study, design for a project management office, and a communications and cultural change management plans. The first five deliverables are complete. The sixth, a cost benefit analysis, recommended a hybrid approach that integrates and standardizes two to three existing Departmental document and records management systems to meet DOE functional requirements for non-classified documents. However, on March 18, 2004, a decision was made by the Department to migrate the Integrated Document Management System into a corporate solution, which also includes e-FOIA, Knowledge Management, and Concurrence Process using the standard Portal platform. This consolidation initiative will also conform to e-Records management standards issued by the National Archives and Records Administration.

- **Secure Network Services:** Provides secure networking capabilities both within DOE and with other Government entities and would enable or significantly improve upon current secure communications and networking capabilities of the Department. The implementation of these secure networking features will greatly improve the speed and efficiencies of our collaborative efforts, but will also have the additional benefit of improving upon the overall security of large volumes of classified information. Specifically, this project will provide DOE the use and expansion of existing Virtual Private Network technology for sensitive, but unclassified, access to protect information while in storage and in transit.

**Status:**

Various implementation alternatives, including a classified local area network and Secret Internet Protocol Router Network (SIPRNET) are currently being evaluated. Initiative is not yet funded.

- **I-MANAGE: e-Procurement:** Provides an integrated information technology solution that streamlines the procurement and financial assistance award and administration process. It also provides the ability to track personal property and gather more timely information on the contractor workforce. The project will leverage government-wide components of the Integrated Acquisition Environment and the Grants.gov PMA initiative.

**Status:**

A detailed project plan and the joint requirements definition phase will be completed by the end of fiscal year 2004. The project deployment is currently scheduled to occur in fiscal year 2006.

- **I-MANAGE: Data Warehouse:** This state-of-the-art data warehouse will provide access to information from each of the Department's corporate business systems through a portal. Each manager will use the data warehouse as a "knowledge bank" of information about portfolios, programs, and projects including budget execution, accumulated costs, performance achieved, and critical milestones. The portal will permit customized views of specific data including establishing alerts that warrant immediate attention and setting conditions that monitor progress toward organizational goals.

**Status:**

- The system requirements were completed in September 2003.
- The design was completed on March 31, 2004.
- A prototype was deployed and tested as proof of concept in April 2004.
- Hardware acquisition and implementation was completed on May 3, 2004.
- User Acceptance Testing will be completed by August 13, 2004.
- The Certification & Accreditation will be approved by August 31, 2004.
- User Training will be conducted in September 2004.
- The system will be implemented in October 2004.

## VI. Overview of the Department's Additional E-Government Activity

The Department of Energy's (DOE) commitment to E-Government also involves the development, implementation, or general support of projects that are not part of the President's Management Agenda (PMA) initiatives or directly associated with the Lines of Business, yet reach across multiple agencies. Examples of two initiatives follow:

**Science.gov:** This initiative, supported by the Department's Office of Science and Technical Information, was developed by an interagency working group comprised of seventeen scientific and technical information organizations and major science agencies to enhance access to science information. These agencies are committed to the information needs of the citizen, including science professionals, students, educators, business entrepreneurs, and members of the public with an interest in science.

On, May 11, 2004, DOE officially launched Science.gov 2.0, "the next major step in government science and information retrieval on the internet." The new release of Science.gov 2.0 delivers groundbreaking, user-friendly technology enhancements that allow the patron to sort and receive information rapidly to their desktop computer. The Science.gov web site makes available more than 47 million pages of government research and development project results to the public. Eight million pages represent Departmental data.

The release of Science.gov 2.0 delivers groundbreaking, user-friendly technology enhancements. This new version introduces relevance ranking in large collections of Federal research and development results. The new technology sorts through the government's database of research and development papers and rapidly returns information to desktops in an order more likely to match patrons' needs.

**SMARTBUY:** On June 2, 2003, Office of Management and Budget announced the formal creation of the SMARTBUY (Software Managed and Acquired on the Right Terms) government-wide enterprise licensing initiative. The goal of this project is to lower the cost of software for individual agencies through the purchase of applications in the largest volume possible to maximize efficiencies and minimize costs among the agencies.

This key project, led by the General Services Administration, will establish contracting vehicles to better leverage the buying power of the Federal government. It will reduce the cost for commodity software while achieving the same level of quality; employ "smart" buying practices to reduce acquisition and support costs, including software asset management, and increase the use of standards-compliant software. DOE is a partner on this initiative. DOE provided its actual and planned software requirements for SMARTBUY on April 30, 2004. The Office of the Chief Information Officer has the program lead for this initiative.

## VII. The Road Ahead

This E-Government Progress Report provides the Department's E-Government framework and the road ahead to become a digital Department and to better support its customers. The Department of Energy (DOE) envisions information technology infrastructure and systems that are modernized, reliable, and secure.

The Department will pursue the following activities in the near term in support of its E-Government strategy:

### **CUSTOMER RELATION MANAGEMENT**

- Continue support to the Presidential Priority Initiatives;
- Continue as a managing partner in the E-Government initiatives as identified in Chapter III;
- Continue as a managing partner or participant in the Lines of Business Activities as identified in Chapter IV;
- Continue implementation of the Innovative Department of Energy E-Government Applications (IDEA) project plans as identified in Chapter V;
- Identify new internal E-Government initiatives through the continuation of the IDEA project;
- Identify additional pilot projects throughout the Department. For example, use the results from the Program Assessment Rating Tool, introduced by the Office of Management and Budget, to improve performance and customer service; and
- Deploy the Department's new core financial system and data warehouse (I-MANAGE).

### **ORGANIZATIONAL CAPABILITY**

- Continue implementing the E-Government workforce planning program;
- Continue the quarterly internal reviews of all major information technology investments to ensure they are consistently within costs and on schedule to meet performance targets;
- Continue to develop and analyze major information technology business cases;
- Continue the development and initial implementation of a long-term plan for competitive sourcing; and
- Continue to increase the number of certified project managers to ensure that DOE projects are managed using proven techniques, such as earned value management.

### **ENTERPRISE ARCHITECTURE**

- Develop a strategic methodology to integrate Human Capital and Enterprise Architecture;
- Continue to mature the Enterprise Architecture to align with the Federal Enterprise Architecture;
- Develop and implement a fully integrated Enterprise Architecture repository; and
- Develop a target Enterprise Architecture and associated migration plan.

## **SECURITY AND PRIVACY**

- Complete and maintain a 100% inventory of Departmental systems;
- Continue to certify and accredit all major information technology systems;
- Continue to measure implementation of security policies through quarterly metrics reporting;
- Continue reporting of all cyber security incidents;
- Continue to complete annual self-assessments to promote self-identification and correction of security vulnerabilities;
- Continue to measure implementation of wireless cyber security policy; and
- Continue to ensure appropriate level of protection for all Departmental Critical Infrastructure Protection program assets.

DOE is building on a solid E-Government foundation as evidenced by its partnering role with the Presidential Priority E-Government Initiatives and the Federal Government's Lines of Business initiatives. Further, DOE has experienced significant success with its internal Innovative Department of Energy E-Government Applications (IDEA) initiatives. Continued success requires continual alignment and integration of information technology with the Department's core business requirements.

The Department is dedicated to providing simplified access to its information and products within a Government-wide framework. Information technology solutions will be aggressively pursued to meet customer requirements for facilitated access to information. The sharing of information will be facilitated with transparent and seamless interoperability and end-to-end connectivity from any location.

**Appendix 1:**

<b>ACRONYMS USED IN THIS REPORT</b>	
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<b>ACRONYM</b>	<b>DEFINITION</b>
DOE	Department of Energy
eDISS+	eGovernment DOE Integrated Security Systems
eXCITE	Extended Common Integrated Technology Environment
FOCI	Foreign Owned, Controlled or Influenced
FOIA	Freedom of Information Act
G2B	Government-to-Business
G2C	Government-to-Citizen
G2G	Government-to-Government
IDEA	Innovative Department of Energy E-Government Applications
MOU	Memorandum of Understanding
OMB	Office of Management and Budget
PMA	President's Management Agenda
R&D	Research and Development
SIPRNET	Secret Internet Protocol Router Network
SMARTBUY	Software Managed and Acquired on the Right Terms



## Appendix 2: Legislation Affecting E-Government at the Department of Energy

The primary legislation that provides guidance on the usage of IT resources includes, but is not limited to the following:

- The Clinger-Cohen Act (CCA);
- Government Paperwork Elimination Act (GPEA);
- Government Information Security Reform Act (GISRA); and
- The E-Government Act of 2002

The **Clinger-Cohen Act of 1996** facilitates, encourages, and provides for the efficient and effective use of modern information technology by executive agencies. The Act seeks to increase the responsibility and accountability of departments and agencies in achieving substantial improvements in the delivery of services to the public and in other program activities through the use of modern information technology. Formerly known as the Information Technology Management Reform Act, this law specifically mandates that agencies and departments:

- Establish Chief Information Officers (CIOs) with defined duties and responsibilities;
- Design and implement capital planning and investment controls; and
- Use information technology as a strategic enabler of agency and departmental missions and business objectives, implementing information technology-related actions to enhance performance and results-based management.

The **Government Paperwork Elimination Act of 1998 (GPEA)** specifically provides for Federal agencies, by October 21, 2003, to give the public the option to submit information electronically; to maintain or disclose information to the public using electronic means; and to use electronic authentication methods to verify the identity of the sender and the integrity of electronic content. The law directs agencies to engage in the “acquisition and use of information technology, including alternative information technologies that provide for electronic submission, maintenance, or disclosure of information as a substitute for paper, and for the use and acceptance of electronic signatures.”

The **Government Information Security Reform Act (GISRA)** requires Federal Agencies to assess the security of their non-classified information systems. More important from an enforcement perspective, the law requires every agency to provide a risk assessment and report of the security needs of its systems. These reports must be included in every agency budget request. All agency programs will include procedures for detecting, reporting and responding to security incidents, including notifying and consulting with law enforcement officials, other offices and authorities, and the General Services Administration’s Federal Computer Incident Response Capability (FedCIRC).

The **E-Government Act of 2002** is defined as the Government use of web-based Internet applications or other information technology to enhance the access to and delivery of government information and services to the public, other agencies, and other Government entities; or to bring about improvements in Government operations that may include effectiveness, efficiency, service quality, or transformation. The Act establishes a new agency within the Office of Management and Budget, the Office of Electronic Government, which is responsible for electronic information management and for promoting interagency cooperation to improve public services.

**Public Law 106-107** The Federal Financial Assistance Management Improvement Act of 1999 (P.L. 106-107) covers all domestic “federal financial assistance” programs. This means all programs, including entitlements that provide resources (e.g., grants, contracts, loans, in-kind contributions) to states, localities, organizations, or individuals. Since it is limited to domestic programs, it does not cover foreign aid or assistance used in non-domestic situations.

The law requires OMB to work with other federal agencies to establish, when consistent with existing law:

- A uniform application for financial assistance (e.g., grant applications) from multiple programs across multiple federal agencies;
  - Ways to simplify reporting requirements and administrative procedures, including uniformity and standardization of rules affecting funding from multiple programs;
  - Electronic methods for applying for, managing, and reporting of financial assistance funds;
  - Improved approaches for the collection and sharing of data pertaining to financial assistance programs, and efforts to strengthen the information management capacity of state, local, and tribal government and nonprofit organizations. This includes the development of a release form to be used by grantees for the sharing of information across multiple federal financial assistance programs. Presumably, the data sharing requirements could include a wide range of information, from program performance data to information about people receiving services (e.g., clients); and
- Specific annual goals and objectives to achieve these items.

**Electronic Signatures in Global national Commerce Act of 2000 (ESIGN)** declares the validity of electronic signatures for interstate and international commerce; prohibits denying the legal effect of certain electronic documents and transactions signed by an electronic signature; clarifies broad circumstances in which an electronic record satisfies any statute or regulation that mandates a record in writing; requires inquiries into domestic and foreign impediments to commerce in electronic signature products and services; and embraces all technologies. The Act is also known as the “Millennium Digital Commerce Act” and the “E-SIGN bill.”

**The Electronic Freedom of Information Act Amendments of 1998** created a specific procedure through which any person can exercise his or general right to request and obtain access to particular federal agency records and data.

Commonly called “E-FOIA,” the Act has increased demand for publications and reports from agencies, leading many agencies to allow their publications and reports to be electronically downloaded from their Web sites.

**The Energy Employees Occupational Illness and Compensation Program Act of 2000 (P.L. 106-398)** establishes a program to provide compensation to DOE employees, its contractors and subcontractors, companies that provided beryllium to DOE, and atomic weapons employers. The statute provides that covered employees who suffer from a cancer caused by radiation, beryllium disease, or chronic silicosis are eligible for a lump sum payment of \$150,000 for disability and payment of future medical expenses associated with that disease. If the worker is deceased, the lump sum payment will be provided to survivors. The Act also provides that DOE assist workers with other occupational illnesses with filing state workers’ compensation claims once agreements to do so have been entered into between DOE and states.

**The Debt Collection Act of 1996** requires increased use of electronic commerce to improve cash and debt collection management.

**The Federal Acquisition Streamlining Act of 1994 (FASA)** established the Federal Acquisition Computer Network and increased agencies’ flexibility in terms of procurement processes. Acquisitions are governed by the Office of Management and Budget’s (OMB’s) Office of Federal Procurement Policy. This Act, and subsequent amendments and directives found in the Federal Acquisitions Regulation (FAR), provides the legislative impetus for electronic procurement. OMB will continue to advance the evolution of agencies’ acquisition processes from paper to electronic media to save taxpayer dollars, expedite processes, and ease the burden on businesses.

**The Government Performance and Results Act of 1993 (GPRA)** requires government agencies to link performance to results and fosters short-term business planning and long-term strategic planning. The law also requires that agencies develop performance plans that articulate their target performance goals and progress towards meeting these goals. Electronic government is a means by which agencies can fulfill these performance goals. The Act also encourages bureaus and offices within agencies,

such as CIO and IT organizations, to improve service delivery and focus on results and customer satisfaction.

**The Computer Security Act of 1987** provides for the security of Government information systems. The Act requires each agency with a federal computer system to establish a security plan to protect the security and privacy of sensitive information. In addition, the Act establishes a Computer System Security and Privacy Advisory Board within the Department of Commerce and directs the National Bureau of Standards to establish a computer standards program for federal computer systems. The Act also requires that agencies provide periodic training for their employees on the management, use, and operation of computer systems.

**The Privacy Act of 1974** provides specific guidance to federal agencies on the control and release of appropriate records.

As amended, **Section 508 of the Rehabilitation Act of 1973** requires federal agencies to ensure that their electronic and information technologies provide people with disabilities access to information and data comparable to that of people without disabilities. This requirement applies to federal as well as members of the general public that conduct business with the agency. Additional guidance regarding this Act and its implications for electronic government has been issued by the interagency CIO Council and the Department of Justice.

**The Chief Financial Officers Act of 1990** brought more effective general and financial management practices to the Federal Government through statutory provisions that established in the Office of Management and budget a Deputy Director for Management, established an Office of Federal Financial Management headed by a Controller, and designated a Chief Financial Officer in each executive department and in each major executive agency in the Federal Government. The Act provided for improvement, in each agency, of systems of accounting, financial management, and internal controls to assure the issuance of reliable financial information and to deter fraud, waste, and abuse of Government resources.

The Act also provided for the production of complete, reliable, timely and consistent

financial information for use by the executive branch of the Government and the Congress in the financing, management, and evaluation of Federal Programs.

**The Federal Information Security Management Act of 2002 (FISMA)** provided a comprehensive framework for ensuring the effectiveness of information security controls over information resources that support Federal operations and assets. It recognized the highly networked nature of the current Federal computing environment and provided effective government-wide management and oversight of the related information security risks, including the coordination of information security efforts throughout the civilian, national security and law enforcement communities.

FISMA provided a mechanism for improved oversight of Federal agency information security programs. It acknowledged that commercially developed information security products offer advanced, dynamic, robust and effective information security solutions, reflecting market solutions for the protection of critical information infrastructures important to the national defense and economic security of the nation that are designed, built, and operated by the private sector.

The Act recognized that the selection of specific technical hardware and software information security solutions should be left to individual agencies from among commercially developed products.

Other security- and records management-related regulations and directives that impact E-Government activities include:

**The X509 Standard** defines the basic requirements of technology components to be used in federal IT processes. The three basic data structure to be used by the Federal PKI are the certificate, cross certificate pair, and Certificate Revocation List (CRL).

**The Management of Information Resources (OMB Circular A-130)** establishes the policies for the management of federal information resources, and includes, as appendices,

procedural and analytic guidelines for implementing specific aspects of these policies.

**The Federal Records Act (36 CFR 1220)** defines federal records and requires the establishment of agency programs to ensure adequate and proper documentation of organization, function, policies, decision, procedures, and essential transactions.

**The Critical Infrastructure Protection Plan (Presidential Decision Directive 63)** states that certain national infrastructures, e.g., energy, information and communications, and banking and finance, are critical to the national and economic security of the United States and the well being of its citizenry, and that the United States will take all necessary measures to protect them. The Directive calls for a public-private partnership to provide protection, establishes a national organizational structure to effect that partnership, and directs the development of two sets of plans: each Federal department's or agency's plan to protect its portion of the Federal Government Critical Infrastructure and a comprehensive National Infrastructure Assurance Plan with input from all infrastructure sectors.