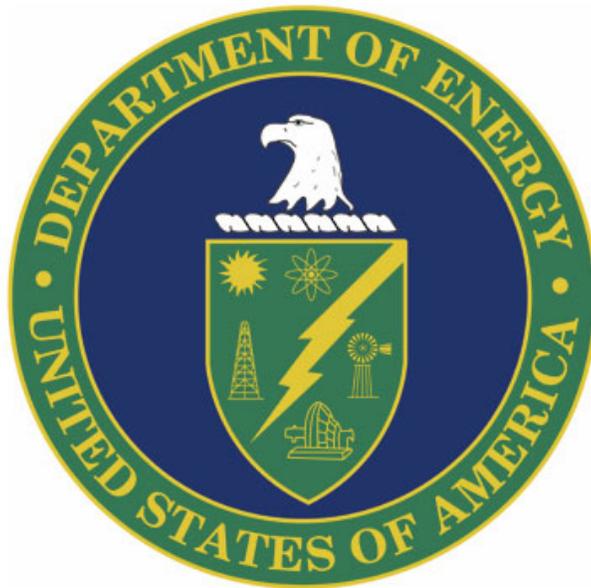# U.S. Department of Energy

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

E-Government Strategic Action Plan
A Road Map for Delivering Services

Office of the Chief Information Officer
October 2002

Message from the Secretary of Energy

The Department of Energy (DOE) is pleased to present its E-Government Strategic Action Plan in support of the President's Management Agenda goal of expanding electronic government. The Plan provides a road map for delivering services to our communities of interest in keeping with our core mission of enhancing national security. The Department's mission and priorities strongly support the National Energy Policy, which describes ways in which to balance America's energy supply needs through technology, diversity of supply and conservation. In concert with this National Policy, the strategic vision for transforming the enterprise through E-Government at DOE is to unify core applications through a secure environment and simplify access to energy-related government services. Key elements of DOE's E-Government strategic action plan include developing DOE's enterprise architecture, enhancing the public trust, focusing resources, improving information technology security, enhancing a capital planning and investment control process, addressing the requirements of the Government Paperwork Elimination Act, and managing change.

DOE has designed a unique E-Government initiative, Project IDEA (Innovative Department of Energy E-Government Applications), that will facilitate the process of Departmental business transformation to better serve our communities of interest. Project IDEA will reduce redundancies of effort, provide cost savings through streamlining activities, and guide organizational realignments to maximize efficiencies. The Project IDEA initiatives address the four key areas for government reform through the use of E-Government as outlined in the President's Management Agenda: Government to Citizen (G2C); Government to Business (G2B); Government to Government (G2G); and Internal Efficiency and Effectiveness (IEE). In addition, DOE is excited to be a lead or supporting partner on a number of projects under the President's Quicksilver initiative, E-Government projects that are being delivered across the Federal Government to significantly improve productivity and generate performance gains.

As we move forward in developing electronic government activities across the Department, DOE welcomes your input on our progress in better delivering services. Technology is a critical tool in the deployment of DOE's Project IDEA E-Government initiatives, but it is only worthwhile if it meets the needs of improving the Department's interactions with its communities of interest. We look forward to working with you in this endeavor.

Spencer Abraham
U.S. Secretary of Energy

U.S. Department of Energy E-Government Strategic Action Plan

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U.S. Department of Energy E-Government Strategic Action Plan

I. Executive Summary

The President's Management Agenda (PMA) has served as a catalyst for change throughout the Federal Government. The PMA observes that "government needs to reform its operations – how it goes about its business and how it treats the people it serves." To date, agencies have more often used information technology (IT) to automate pre-existing processes rather than to create new, more efficient solutions. They have evaluated systems according to how well they serve the agency's needs – versus focusing on the needs of the citizen – and they have made redundant investments to preserve unnecessary bureaucratic chains of command that lost their purpose years ago. Electronic government (E-Government) is designed to use digital technologies to transform the way that government works to improve services to its communities of interest – citizens, businesses, other government agencies, and its internal components.

The U.S. Department of Energy (DOE) is committed to expanding E-Government to secure greater services at lower costs and to meet the public demand for E-Government. Following a self-assessment, DOE recognized an opportunity for E-Government transformation. It realized that the Department could more prudently introduce and manage its technology to increase efficiency, improve resource management, simplify processes, and unify information flow across the Department's business lines.

> *Overall, the federal investment in technology represents an opportunity to free-up billions of dollars of wasteful federal spending, to accelerate government response times from weeks to minutes, and to directly support companies, jobs and research and development in the information technology sector*
>
> *- The President's Technology Agenda*

The First Step – Project Quicksilver: DOE began its E-Government transformation as a participating member of the government-wide Quicksilver E-Government Task Force convened by the President's Management Council (PMC) and the Office of Management and Budget (OMB). Participants identified E-government projects to be delivered across the federal government to significantly improve productivity and performance gains. Of the 24 identified projects, DOE has been designated as a participating partner agency on: (1) Eligibility Assistance Online; (2) Geospatial Information One-Stop; (3) E-Grants; (4) E-Travel; and (5) E-Clearance (managing partner). (See Appendix B.) DOE also has the management lead in the Correspondence Tracking subgroup within the Electronic Records Management Quicksilver initiative.

A Call to Action – Project IDEA: In March 2002, Secretary of Energy Spencer Abraham launched the Innovative Department of Energy E-government Applications (IDEA) task force and identified five main objectives (See Appendix C). :

- Complete an assessment of E-government initiatives meeting President Bush's goal of simplifying and reducing duplicative IT system investments;
- Complete the DOE's enterprise architecture goal of unifying and simplifying investment

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and business process decisions;
- Integrate capital planning and investment control process (CPIC) into the budget process;
- Integrate the Government Paperwork Elimination Act (GPEA) requirements into the E-government initiatives; and
- Identify high value E-government initiatives to DOE customers, while generating cost savings and improving effectiveness in order to achieve results through simplification and unification of work processes and information flow.

An IDEA Task Force (See Appendix D) and Steering Committee were established at the outset of Project IDEA. Both played critical roles in the success of the effort. The Task Force led DOE through its internal E-government assessment and subsequent development of a comprehensive E-government action plan and road map with valuable leadership and guidance from the Steering Committee. The Steering Committee included representatives from:

- The Office of the Under Secretary for Energy, Science, and Environment,
- The Under Secretary for Nuclear Security/Administrator for Nuclear Security, National Nuclear Security Administration,
- The Administrator for Energy Information Administration, and
- The Chief Financial Officer.

The Task Force conducted a series of interviews with DOE senior leaders, which identified over 300 potential E-government initiatives. After analyzing the data, the team was able to develop a list of 60 potential E-Government initiatives that would provide a significant improvement in agency mission or performance, would be completed in less than 18 months and would benefit one or more program offices. The initiatives and Task Force members were then grouped into 4 project portfolios representing Government to Citizen (G2C); Government to Government (G2G); Government to Business (G2B); and Internal Efficiency and Effectiveness (IEE). The Task Force members then employed rigorous evaluation techniques to identify a portfolio of DOE's 19 most promising initiatives (See Appendix E.) Light business cases and draft OMB Exhibit 300 documents were developed for each initiative, and the projects have subsequently been evaluated for final funding decisions prior to the start of Fiscal Year (FY) 2003 and will be included in the FY2004-2008 Budget planning cycle.

The Next Steps – Successful Implementation: This E-government Strategic Action Plan presents an overview of the 19 most promising initiatives, along with an implementation plan for institutionalizing them throughout the organization. Projects will be implemented incrementally, beginning with initial implementation of five (5) of the 19 initiatives, followed by a cycling in of the next five (5) initiatives until all 19 have been initiated, pending funding availability.

In addition, the plan addresses barriers identified by the IDEA Task Force that must be mitigated in order to more effectively deliver services to DOE's communities of interest. These include issues concerning management support, enterprise architecture, public trust, cyber security, resources, resistance to standardization and change management. Several recommendations for

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leadership action have been made in the Plan to overcome these barriers.

II. Mission, Role, and Strategic Vision

Mission. The Department of Energy (DOE) has four major functions. These are: 1) national security; 2) environmental quality; 3) science and technology; and 4) energy resources. In the area of national security, the National Nuclear Security Administration maintains the nation's nuclear weapons stockpile and manages non-proliferation efforts to reduce threats from weapons of mass destruction. The environmental quality function is largely conducted by the Office of Environmental Management, which cleans up the environmental contamination resulting from over 50 years of nuclear material production. The Office of Science sponsors a broad range of basic research that supports other DOE programs and operates a suite of scientific facilities for the benefit of the entire U.S. research community. Finally, the Offices of Fossil Energy, Nuclear Energy, and Energy Efficiency and Renewable Energy conduct applied research aimed at improving energy conservation and supply.

National Energy Policy. The Department's mission and priorities strongly support the National Energy Policy, which describes ways in which to balance America's energy supply needs through technology, diversity of supply and conservation. Currently, the Nation is facing the most serious energy shortage since the oil embargoes of the 1970s. This is the result of a critical imbalance between the supply and demand of energy. If allowed to continue, this imbalance will likely undermine our economy, standard of living, and national security.

In addition to the Department's national defense programs that support the Administration's National Energy Policy, so, too, do the priorities of DOE's energy, environmental, and science programs. The priorities of DOE's **energy program** are to increase domestic energy production; revolutionize the Nation's approach to energy conservation and efficiency; and, promote the development of renewable and alternative energy sources. The **environmental management program** is

> Enhancing the performance gain that DOE's IT systems deliver to the programs they support is the ultimate goal of Innovative Department of Energy E-Government Applications (IDEA). This performance gain will ensure that maximum benefit is delivered to DOE's communities of interest.

charged with the accelerated cleanup, closure, and associated risk reduction of the 114 sites around the country involved with research, development, production and testing of nuclear weapons. The top priority of the Department's **science program** is the sponsorship of cutting-edge science and technology research and development that revolutionizes how energy is found, produced, and delivered.

The Role of E-Government at DOE

DOE utilized project IDEA to define E-Government initiatives that improve the way DOE

fulfills its strategic objectives. Through E-Government initiatives of its national defense, energy, environmental, and science programs, DOE has a unique opportunity to contribute to meeting the government reform goals of the PMA. Developing the enterprise architecture, enhancing the public trust, focusing resources, improving IT security, and a capital planning and investment control process, addressing the requirements of the Government Paperwork Elimination Act, and managing change are key elements of E-Government at DOE.

III. Project IDEA: Developing the E-Government Strategy

On March 27, 2002 Secretary Abraham announced the Innovative Department of Energy E-Government Applications (IDEA) initiative to the DOE community (See Appendix C). IDEA identified the following strategic objectives:

- Complete an assessment of E-Government initiatives meeting the Administration's goal to simplify and reduce duplicative IT system investments;
- Complete the Department's enterprise architecture to unify and simplify investment and business process decisions;
- Integrate capital planning and investment control process (CPIC) into the budget process;
- Integrate the Government Paperwork Elimination Act (GPEA) requirements into the E-Government initiatives; and
- Identify high value E-Government initiatives to DOE customers, while generating cost savings and improving effectiveness of the Department to achieve results by simplifying and unifying work processes and information flow.

To meet IDEA's objectives, the CIO established a Task Force (See Appendix D) and Steering Committee in March 2002 that played critical roles in IDEA's success. The Task Force led DOE through its internal E-Government assessment and its development of a comprehensive E-Government action plan and road map with valuable leadership and guidance from the Steering Committee.

To begin, the Task Force conducted a series of interviews with DOE senior leaders, which identified over 300 potential E-Government initiatives. After analyzing the data, the team was able to develop a list of 60 potential E-Government initiatives. The initiatives and Task Force members were then grouped into 4 project portfolios:

Appendix G provides a summary of the findings derived from the interview process and research on the 19 Project IDEA E-Government initiatives. In general, common findings suggested a need to reduce overlap and redundancies of effort. Cost savings were also identified in the process. Many of those interviewed also recognized the need for organizational changes or realignments in order to realize maximum efficiencies.

- Government to Citizen: deploy easy to find one-stop shops for individuals, including single points of entry to high quality departmental services.

- Government to Government: make it easier for states and localities to meet reporting requirements and participate as full partners with the Federal Government in citizen services while enabling better performance measurements, especially for grants.

- Government to Business: reduce burden on businesses by using common standards and consolidating the myriad of redundant reporting requirements.

- Internal Efficiencies and Effectiveness: improve the costs of departmental administration by using e-business best practices in areas such as supply chain management, financial management, and information technology investment.

After dividing the projects into portfolios, the Task Force members used rigorous evaluation techniques to identify a portfolio of DOE's 19 most promising initiatives (See Appendix E.) The Task Force developed light business cases and draft Exhibit 300 Documents for each initiative. These projects have been evaluated for final funding decisions prior to the start of Fiscal Year (FY) 2003 and will be included in the Fiscal Year 2004-2008 Budget planning cycle. The IDEA Steering Committee and the Management Council have reviewed all results.

IV. Overview of the High Pay-Off Initiatives

The 19 IDEA projects that were approved by the DOE Management Council, IDEA Steering Committee, and Task Force will provide the greatest value to DOE's communities of interest. They will simplify and unify the Department's work processes and information flows and are intended to reduce multiple, unnecessary, and costly collections of information. In addition, these initiatives are intended to reduce redundancies of effort, provide cost savings through streamlining, and to guide organizational realignments to maximize efficiencies. Implementation of these initiatives will also be linked to the Department's new enterprise architecture and help the agency continue to improve its compliance with GPEA.

General recommendations from the interviewees reiterated the findings previously mentioned and led to the selection of the following high pay-off initiatives:

Government to Citizen (G2C):

- New Departmental Web Presence: creation of a Departmental web site that's organized around the principle Departmental strategic objectives and standardizes the layout of individual program office web sites;

- Streamlined FOIA Processing: will empower citizens to make Freedom of Information Act requests and access documents released to the public through a common web site/portal;

- Streamlining Departmental Grants Processing: will provide grant seekers access to all DOE grant solicitation notices from a common portal (energy.gov) and ability to electronically submit grant applications/proposals**;**

- e-Med Claims: will radically transform 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 (P.L. 106-398).

Government to Business (G2B):

- e-R&D Portfolio Management, Tracking and Reporting: will provide a unified approach for performers to request funds and report progress to the Department; seamless information sharing across corporate systems; efficient disbursement of funds, work authorizations, and related guidance; and the capability to electronically score criteria for Applied R&D Investments;

- e-Assessment of Foreign Owned, controlled or Influenced (FOCI) Companies: will complete the automation of the Foreign Owned, Controlled, or Influenced Companies determination process; provide a comprehensive repository of requests and outcomes of foreign owned, controlled, or influenced company determinations; and will complete the implementation of the system to all operations offices. Implementation of this initiative aids the Department in reducing adverse security incidents and once the system is completed, it can be easily transferred to other federal agencies.

- Intellectual Property Portfolio Online: will provide private industry (small business) a single point of entry to the Department's intellectual property portfolio which is available for licensing to enhance and accelerate transfer of technology developed by DOE-funded projects. Successful implementation of this initiative will provide benefits to the health of the national economy, strengthen security, and US leadership in international competitiveness.

Government to Government (G2G):

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

- Nuclear Materials Accountability: will reengineer business processes and integrate stand-alone systems to ensure complete nuclear materials accountability;

- CN e-Case Management System: will provide a Department-wide view of common, but site-specific information for analysis purposes and permit information sharing on a need to know basis with the FBI and CIA;

- e-Departmental Integrated Safeguards and Security: will allow for electronic receipt, processing, sharing, and archiving of clearance-related data, as well as an electronic signature capability; will also integrate personnel security data and clearance information with Departmental human resource and access control systems, and provide for secure information sharing and clearance reciprocity across agencies.

Internal Efficiency and Effectiveness (IEE):

- Enterprise Financial Management: will provide the Department with a modern, comprehensive and responsive financial management system that will electronically integrate budget formulation, budget execution, accounting, financial reporting, activity based management/costing, and performance measurement;

- Enterprise Human Resources: will streamline employee and management personnel actions, training administration, competency/skills management, online vacancy/recruitment, and employee self-service;

- Consolidated DOE Intranet (Superduper Portal): will serve as a secure, single point of entry to all DOE information sources and provide a variety of web-based services such as collaboration, workflow and document management;

- e-XCITE (Extended Common Integrated Technology Environment): will consolidate all aspects of common IT systems throughout DOE as a way to improve services, increase IT purchasing power, and reduce overall IT expenditures;

- Integrated Document Management System: will integrate the multiple components of correspondence, documents, and records management within the Department;

- Secure Network Services: will improve on the overall security to large volumes of classified information that currently exists;

- e-Procurement: will provide an integrated information technology solution that will streamline the procurement and financial assistance award and administration process and will provide the ability to track personal property and gather more timely information on the contractor workforce; and

- DOE Corporate Repository/Warehouse: will maintain and integrate data essential for corporate reporting and management decision-making.

Link to DOE Strategic Plan.
The most recent DOE Strategic Plan was issued in September 2000. It is in the process of being updated for re-issuance in the fall of 2002 to reflect the priorities identified in the PMA, the

National Energy Policy, OMB's Research and Development project investment criteria, and any new policy. In designing IDEA, each of the 19-identified, high pay-off E-Government initiatives have been strategically linked to the Department's goals and objectives as outlined in the September 2000 DOE Strategic Plan (see Appendix C). In addition, the light business case and Exhibit 300 for each E-Government initiative highlights the projects relationship to DOE's strategic and performance goals.

Link to DOE Annual Performance Plan.
DOE's FY 2003 Annual Performance Plan is intended to maintain a close relationship between the Department's Strategic Plan and the Budget. This E-Government Action Plan is intended to correspond with the DOE Strategic Plan, Annual Performance Plan and DOE Budget, as well as the National Energy Policy and the PMA. The overall intent is to be able to link annual performance with annual budget resources and the strategic plan objectives for the Agency. Appendix I provides a crosswalk of Project IDEA initiatives and their corresponding performance metrics. In devising these metrics, every effort was made to ensure that they are in support of the mission and goals of the Agency and the PMA. As program leads and supporting partners continue planning and implementation efforts, their performance measures may be further refined to ensure they are effective, achievable, and closely linked to the DOE performance measurement plan.

V. Action Plan Implementation

Appendix H shows the phased process of Project IDEA leading toward implementation of the 19 identified high payoff initiatives. Based on guidance from the Office of Management and Budget (OMB), DOE will maximize the implementation impact of these initiatives through a cyclical deployment process. Pending funding availability, implementation costs of the first five initiatives will be spread over the next two fiscal years, FYs 2002-2004. As some or all of the 5 initiatives are completed, additional initiatives will be cycled into the implementation phase.

The following chart shows the anticipated roll out of the initiatives. Through this phased approach, the impact on the organization, as well as on DOE's communities of interest that may be affected by particular initiatives, will be assessed through IDEA performance metrics. (See Appendix I for crosswalk of IDEA initiatives and their performance metrics.) This will facilitate better focus of resources and improved portfolio management.

U.S. Department of Energy E-Government Strategic Action Plan
Project IDEA Deployment

Rank	Initiative Name	Duration (Months)	Lead Partner	Supporting Partner	0-6 Months	6-12 Months	12-18 Months	18-24 Months	24-36 Months	36-48 Months	48-60 Months
1	New Departmental Web Presence	6	PA	CIO, SO	[green]						
2	eXCITE (Extended Common Integrated Technology Environment)	24	CIO	ME & LPSOs	[pink]	[pink]	[pink]	[pink]	[pink]		
3	DOE Corporate Repository/Warehouse	18	ME	SO, NNSA, SC, EM, CIO	[blue]	[blue]	[blue]				
4	e-Signatures	18	CIO	ME, (specifically Executive Secretariat)	[blue]	[blue]	[blue]				
5	eR&D Portfolio Management Tracking and Reporting	36	SC	CIO, ME, NNSA, EE, EM, FE, NE	[orange]	[orange]	[orange]	[orange]	[orange]		
The following 6 projects are on-going operations as defined below₁											
On-going operations	E-Procurement	24 (LBC) 152 (300)	ME	NNSA, SC, EM, CIO	[blue]	[blue]	[blue]	[blue]			
On-going operations	Enterprise Human Resources	14	ME	NNSA	[blue]	[blue]	[blue]				
On-going operations	Enterprise Financial Management	24+	ME	SC, EM, NNSA	[blue]	[blue]	[blue]	[blue]			
On-going operations	Streamlining Departmental Grants Processing	12	SC	EE, ME	[orange]	[orange]					
On-going operations	e-Departmental Integrated Safeguards and Security +	36	SO	NNSA, ME	[blue]	[blue]	[blue]				
On-going operations	Secure Network Services	24	NNSA	SO, IN, CIO, CN	[green]	[green]					
Phase II											
6	Consolidated DOE Intranet (Superduperportal)	24	CIO	ME		[green]	[green]				
7	Nuclear Materials Accountability	36	NNSA (Nuclear Non-Proliferation)	EM, SC, SO, NE, RW			[red]	[red]	[red]	[red]	[red]
8	Integrated Document Management System	18+	ME	CIO, EH, RW, EM				[blue]	[blue]		
9	CN eCase Management System	6	CN	SO, IN					[green]		
10	e-Assessment of Foreign Owned, Controlled, or Influenced (FOCI) Companies	24	SO	NNSA						[green]	[green]
Phase III											
11	e-Med Claims	36	EH	NNSA					[blue]	[blue]	[blue]
12	Intellectual Property Portfolio - Online	18	SC	GC						[light blue]	[light blue]
13	Streamlined FOIA Processing	24	ME	PA						[blue]	[blue]

₁ Existing efforts that are underway and must remain flexible to maintain consistency with DOE's corporate direction

Link Key:

Stand Alone [green]	Corporate Architecture [pink]	E-Procurement [orange]
Corporate Repository [blue]	eR&D/Grants [light blue]	Document Management [red]

Immediate Next Steps.
Managing and supporting partners have been identified for the 19 Project IDEA initiatives. The managing partners are finalizing Exhibit 300 business cases and working with the supporting partners to begin project planning and implementation in accordance with the IDEA action plan. These individuals will form project teams that will serve as DOE's agent of E-Government change. The teams will have the responsibility for implementing DOE's E-Government portfolio with senior leadership and overcoming any barriers to implementation that are encountered throughout the process. (See Appendix H for roll out of Phase II -"IDEA Task Force Next Steps Gameboard".)

VI. Implementation Challenges: Governance and Management of Change

Change management is an essential component of DOE's E-Government Action Plan. Change, by its very nature, is resisted, and must be systematically planned and supported to minimize the depth and length of performance disruptions. Change management strategies consist of three major elements: 1) establishing active and visible change teams; 2) managing the change response; and 3) ensuring all operational components support the future state of the organization.

These practices and other mitigation strategies will be employed to ensure successful E-Government implementation. In addition, the IDEA Governance Structure will continue to guide success as initiatives are cycled through implementation and encounter change management challenges. The following issues and mitigation strategies are likely to be part of the change management effort.

Resistance to Change. As in many organizations, there is resistance to change at DOE. To facilitate needed change at DOE, several actions are planned or are underway, which include:

- strategically communicating and marketing the E-Government Action Plan to DOE's communities of interest (see Appendix D for definitions of DOE's communities of interest);

- including labor unions in the DOE E-Government implementation process;

- reorganizing the existing organizational structure to make lines of responsibility and accountability clearer;

- soliciting endorsement and active participation from senior management; and

- identifying and executing strategies to include overall staff input.

Department-wide participation, Resistance to Standardization, and Management Support. Participation in agency-wide initiatives often presents challenges. At DOE, there has been a lack

of coordination between offices that compounds the problem of identifying clear information ownership. This often can lead to a general resistance to share information and standardize it. In order to address these issues, DOE is focused on sustaining high level leadership and commitment to E-Government using Program Office and senior leadership. It has established the IDEA governance structure (Task Force/Steering Groups/Management Council). There also has been an engagement of interagency user/stakeholder groups, including DOE's communities of interest.

Enterprise Architecture.
The management of DOE's IT investments has been inconsistent; and its IT processes and practices are in need of improvement. Particular attention must be made to ensure that the Department is meeting the requirements of the Clinger-Cohen Act of 1996 and OMB Circular A-130 (see Appendix F for legislation effecting E-Government at DOE). Integration across the Department has been difficult to achieve. In order to address these concerns, DOE has reconfigured and scoped the DOE IT Enterprise Architecture (EA) and Capital Planning and Investment Control (CPIC) program to address deficiencies in current IT management practices. Essential guidance and procedures are being developed and then, are being instituted, monitored and controlled as a DOE integrated IT management process. There are two principal elements in this project:

- IT Planning (including Capital Planning and Investment Control, Business Case development, life-cycle project management, IRM strategic planning, management and reporting tools such as I-TIPS, IT portfolio management); and

- a DOE Enterprise Architecture (including an IT standards program, and E-Government policy development as part of the PMA, and an IT software quality program.)

Governance structures will be developed and put in place to oversee IT management activities. The integrated process will apply DOE-wide and will be designed and implemented to be fully coordinated with the PMA, the Department's strategic planning, budgeting, E-Government initiatives, project management, and procurement processes so that separate, duplicative, non-value added activities are avoided.

It is recognized that developing and instituting an integrated IT management process is an extensive, long-term challenge. It will have to be implemented in a series of stages over several years. The General Accounting Office's (GAO's) capability maturity model framework will be used to assess and enhance the process as experience is gained within the Department and best practices are applied.

Recognizing the deficiencies of past practices, DOE intensified and refocused its IT management activities in early Fiscal Year (FY) 2002 under the direction of the Chief Information Officer (CIO), in coordination with Program Office Senior Information Management Executives via the DOE CIO Executive Council. Significant progress has already been made. A DOE Enterprise

Architecture (version 1) was published in June 2002 that describes the baseline or As-Is layers of the Enterprise Architecture and provides the analytical framework for developing the target or To-Be layer and the transition plan for moving forward. The document also provides a baseline business model, data, applications and technology architectures, along with a Technical Reference Model and standards.

Completing the Department's enterprise architecture will help to unify and simplify investment and business process decisions, while improving delivery of services to DOE's communities of interest. In addition, the Department's E-Government portfolios will be key components of the DOE IT Enterprise Architecture (EA) and help to guide future technology investments.

Public Trust. E-Government must ensure privacy for personal information that is shared with the Federal Government. Effective security controls in government processes and systems also must be deployed. DOE has had its challenges with the public's lack of trust in the government's ability to handle sensitive health, exposure and employment information. There have also been questions about DOE's somewhat fragmented approach to managing sensitive and classified information. To successfully address these concerns, DOE will leverage emerging information and communication technologies to ensure privacy and data protection. It also will better educate and inform its communities of interest on how their sensitive information is being used. Enabling customers to voice their opinions on how their information is used and to whom it is disclosed will help to improve the public's trust in DOE's processes and systems.

Cyber Security. The mission of DOE's Cyber Security and Secure Communications Program is to provide consistent principles and requirements for cyber security that Departmental organizations can implement for the protection of classified and unclassified information as required by national laws and policies. DOE has already made significant improvements in this arena including:

- development and issuance of risk management-based policies for the protection of both classified and unclassified information;

- initiation of an expanded cyber security training effort and deployment of Department-wide training to improve the cyber security skills and knowledge of systems administrators, managers, and contractor personnel;

- enhancement of the incident response capability (Cooperative Protection Program);

- continued expansion of the Public Key Infrastructure (PKI) initiative; and

- upgraded DOE site cyber security protection through the expanded use of firewalls and intrusion detection software, stronger passwords, improved system configuration controls, and reconfiguration of system and network connectivity to reduce vulnerabilities.

Continued enhancements to DOE's Cyber Security and Secure Communications Program should facilitate improved public confidence in the Department's ability to handle sensitive health, exposure and employment information through its E-Government initiatives.

Resources. The available federal staff to support the Department's E-Government reform initiatives is an issue that needs to be addressed. Since 1995, DOE has reduced federal staff through buyouts, reductions in force, and attrition during a hiring moratorium to meet lowered budget levels. As a consequence, the average age of DOE employees has increased over the last seven years, with an increasing number of staff eligible for retirement. Separations from the federal workforce at DOE are expected to exceed new hires by almost 3 to 1.

In addition, federal agencies continue to be faced with the reality that IT human resources are in short supply. The increasing need for qualified IT professionals puts the Government in competition with private sector organizations with radically different compensation structures and advancement opportunities. The PMA mandates that agencies have a workforce in place that is aligned with the agency mission. To achieve that end requires that DOE recruit the best and brightest candidates; employ adaptive recruitment strategies; utilize all federal hiring flexibilities and create innovative retention practices.

DOE will move resources to programs with the greatest return and citizen impact. It will set performance measures up-front and use them to monitor implementation of DOE's Project IDEA E-Government initiatives. In addition, online training will be provided to create new expertise among employees and contractors.

VII. Initiatives' Relationship to the President's Management Agenda

Government Paperwork Elimination Act (GPEA). In concert with the PMA, one of DOE's Project IDEA strategic goals is to integrate GPEA requirements into the E-Government initiatives. On October 21, 1998, GPEA was signed into law. It is an essential piece of government information technology legislation that provides direction to federal agencies in improving citizen service and internal efficiency and effectiveness.

GPEA requires agencies in the four years following its enactment on October 21, 1999, to refine internal business practices and utilize technologies to enable individuals or entities the opportunity to transact with the agency electronically. Furthermore, it mandates that agencies recognize electronic signatures as having the same effect as a written signature.

Throughout the past six months, DOE has made three significant steps in achieving the vision identified by the drafters of GPEA. The Department is deeply committed to fulfilling this vision fully by the October 23, 2003 deadline.

1) *Deployment and Use of Publicly Validated Electronic Signatures.* The Office of the Chief Information Officer (OCIO) has purchased and assigned 20,000 Entrust digital signatures for employee use. In February 2002, the Department extended the use of DOE digital signatures from an internal agency tool to a resource in fostering greater trust in government by citizens. Secretary of Energy Spencer Abraham signed the formal recommendation to President Bush for Yucca Mountain to be the nation's nuclear waste repository with a publicly verifiable digital signature. With this technology all citizens were able to validate and maintain an exact digital copy of the document that was signed by the Secretary himself. This recommendation letter, with the embedded signature, is the first use in a public document of a digital signature by a Cabinet rank official.

In late July 2002, DOE purchased from Entrust on behalf of itself and the entire federal community a software tool that will enable all federal owners of Entrust digital signatures the ability for the public to validate and verify such signatures. This breakthrough, spurred on by opportunities seen by the commercial sector in Secretary Abraham's use of digital signatures, will significantly increase the use of digital signatures by other federal agencies. Instead of establishing two separate certificate authorities (CA), one public and one private per agency, each agency will be able to manage more efficiently their digital signature investment with one CA that authenticates internally and externally with the same signature. This grants agencies the ability to provide the public with legal documents in a more efficient manner.

2) *Project IDEA E-Government Applications.* DOE is one of few federal agencies and departments that has a limited transactional relationship with the public. Unlike the Department of Health and Human Services or the Department of Veterans Affairs, DOE provides no direct monetary entitlement or benefits to the public at large. Instead, DOE has significant monetary transactions between business and government entities.

The IDEA initiative highlights 19 high-level projects, many of which provide core operational support to Departmental elements, including field and laboratory operations. For example, the Corporate Repository, Financial Modernization, Procurement, and Grant initiatives will revolutionize the manner in which the Department executes its day-to-day operations. Each initiative has a GPEA element, which has been addressed fully in the Exhibit 300 of DOE's FY 2004 Budget submission that was prepared as part of the IDEA process.

3) *Enterprise Architecture*. The development of DOE level-1 architecture this summer has empowered the information technology staff at the Department with the ability to finally identify duplicate processes and investments. Informed by the Budget Exhibits 53 and 300 submissions, DOE's enterprise architecture is developing into the core framework by which IT investment decisions at DOE are made and is providing a firm foundation for deployment of the Project IDEA initiatives.

As a result of these three major actions, the Department has positioned itself to execute the following strategy to meet the goals outlined in guidance prepared by the Office of Management and Budget (OMB) to assist agencies in fulfilling GPEA:

- *Implementation of the Public Certificate Authority and Use of Digital Signatures in Widely Disseminated Public Department Documents.* Building upon the significant investment in the public CA access tool identified above, the Department will encourage the use of digital signatures in all widely disseminated signed public documents. This course of action will build upon the use of digital signatures by Secretary Abraham in February 2002 and hopefully, will encourage the use of digital signatures by other federal and commercial entities in their interaction with the public.

- *Fund and Execute the 19 Project IDEA Initiatives*. Since these 19 projects will transform core business processes at DOE, all of which rely on authentication mechanisms, it is anticipated that all core practices will meet the GPEA goals by execution of the IDEA project plans.

- *Identification of Gaps Through the Enterprise Architecture*. The Enterprise Architecture will be updated with Budget Exhibits 53 and 300 information in the near future. By the end of the first quarter of FY 2003, DOE will utilize the enterprise Architecture and supporting data located in the Exhibits to identify any non-Project IDEA business practices that ought to be transformed by digital signatures. OCIO will provide digital signatures to the business process owners to enable them to provide online transactions.

Geospatial Information One-Stop (one of the President's "Quicksilver" initiatives). Over the past few decades, the computer and telecommunications revolutions have made geographic information more accessible and useful to government, businesses, and communities for making critical decisions. Geographic information systems (GIS) capabilities allow users to integrate, manage, and analyze geospatial data in ways that are increasingly important for problem solving and decision support. (Geospatial data characterizes natural or constructed features and boundaries according to geographic location, i.e., georeferenced data). Today, there is a wealth of already georeferenced or georeferenceable data available from governments, academic institutions, and private sector organizations. Local governments often possess the most recent

as well as the highest resolution geographic data. However, these data are collected to serve specific missions and business processes in different formats and according to varying standards. They are often either poorly documented or undiscoverable. The overall result is inefficient use of resources, potential duplication, inconsistency, incompatibility, and inability to maximize the value of the nation's data resources.

The PMA focuses cross-agency G2G activities on the development of data standards that will make geospatial data more readily available to federal, state, local, tribal, and public entities. The Geospatial Information One-Stop initiative is intended to provide access to the Federal Government's spatial data assets in a single location, as well as to make state and local spatial data assets more accessible. This should result in data that can be used multiple times for multiple purposes and thus, save taxpayers' money. It is also anticipated that the private sector will be empowered by communicating the characteristics of a desired standardized data product.

DOE is partnering with the Federal Geographic Data Committee (FGDC) and other federal agencies to define and build a consensus on the content and standards for a common, nationwide geographic data framework. The data associated with this framework will be consolidated into the National Spatial Data Infrastructure (NSDI) Clearinghouse network providing "one-stop access" to FGDC-compliant geospatial data. Interoperability tools, which allow users of different software and hardware to share these data, will be utilized to migrate the current data to the FGDC-compliant NSDI Framework Data standards. The Geospatial One-Stop Project will test and evaluate a web portal as an extension of the NSDI Clearinghouse network. Based on the results, a comprehensive web portal will then be developed and deployed for "one-stop" access to nationwide, standardized geospatial data. After initial deployment and testing of the comprehensive web portal, reusable, commercial replication services (24x7, trusted data services) will be required.

In support of GIS for the Department, a GIS Users Group already is proactively working on the following initiatives that will integrate with and facilitate accomplishment of the Geospatial One-Stop Project:

- Geospatial One-Stop (focusing on what data can be shared; security vs. access issues);

- Data sharing between DOE sites;

- Implementation of OMB Circular A-16, "Coordination of Geographic Information and Related Spatial data Activities," to be published shortly;

- Metadata standard for DOE complex-wide use/metadata server;

- Blanket Purchase Agreements for GIS software;

- Department-wide GIS data acquisition proposal;

- Increase GIS visibility with DOE-HQ and field offices;

- GIS web page on the DOE Chief Information Officer web site;

- Framework initiative proposal;

- DOE GIS inventory; and

- Continued membership in the Open GIS Consortium.

Strategic Management of Human Capital. Key aspects of the PMA that are addressed by this area include:

- Accelerate recruitment and hiring, as well as hiring college graduates in a manner commensurate with their job search approach (Recruitment One-Stop)

- Reduce time to make better decisions (e-Training)

- Adopt IT systems to capture knowledge of retiring employees (e-Records)

- Make better use of e-Training to leverage scarce training funds and develop government-wide competencies within job skill needs (e-Training)

- Integrate commercial best practices in Enterprise Resource Management (ERP) regarding workforce (Enterprise HR Integration, Payroll Processing)

- Attract Internet savvy graduates from top schools and provide modern work environment with HR systems that facilitate employees doing their work (all initiatives)

DOE's Project IDEA initiative on Enterprise Human Resources (EHR) addresses many of these areas. EHR encompasses the systems that support human resource processing and information for DOE federal employees. It was first initiated in FY 1997 as the Corporate Human Resource Information System (CHRIS) to ensure that a state-of-the-art system would be in place for human resource processing and information access prior to the Year 2000 rollover. EHR has been expanded over the years to include an integrated modernization approach to meet human resource, training administration and information processing; Employee Self Service capabilities; and automated online vacancy application system and online paperless transaction requests with electronic signatures. EHR is a mixed life-cycle system. Each year, DOE adds a module or extends the functionality of the system so the project core is in operations and maintenance mode while the new module is going through the development part of the project life-cycle.

Systems activities under the EHR umbrella include interface with the legacy payroll system (modernization efforts underway for payroll, timekeeping, and labor distribution are now managed separately from the EHR Project based on the pending final decision to outsource these functions); development and implementation of PeopleSoft (PS) COTS to support personnel and training processing and information; provision of Employee Self Service (ESS), which provides web-based access at the employee desktop to personnel and payroll information. It also provides the capability to update certain personal information; and interfaces with DOEInfo, the Department's data repository for human resource and payroll information and DISCAS, the current financial management system.

Competitive Sourcing. The PMA focuses on these areas:

- Accomplish E-Government through adoption of best commercial practices and systems/implicit (all initiatives, for example Integrated Acquisition Systems/e-Contract Services)

- Use rule-based decision systems inherent in IT to facilitate outsourcing of commercial activities currently performed in-house (Business Compliance One-Stop and Federal Asset Sales)

Competitive sourcing is designed to make the Government market-based, while encouraging innovation in its operation. Like all other federal agencies, DOE has been tasked by the President to subject 15 percent of its Federal Activities Inventory Reform Act (FAIR Act) positions performing commercial activities to public-private competition during FYs 2002 and 2003. Secretary Abraham designated DOE's Chief Financial Officer/Director, Office of Management, Budget and Evaluation as the lead for the DOE Competitive Sourcing program and as Chair of the Competitive Sourcing Executive Steering Group. To manage the day-to-day operations of the effort a Competitive Sourcing Office within the Office of Management, Budget and Evaluation has been established.

Department-wide, DOE management has identified 927 Headquarters and field jobs in eight functional areas for the first round of study. These functions were selected from the Department's 2001 FAIR Act list of positions performing commercial activities. In addition, DOE is considering conducting a Department-wide study of all IT positions/functions over the next 36-48 months. Approximately 420 FTEs (full time employees positions) were coded commercial on the 2001 FAIR Act inventory and are anticipated to be included in the IT study that would be designed to look at commercial, inherently governmental and contractor IT functions. Of this number, approximately 231 Headquarters IT positions and approximately 189 Field IT positions are under consideration for review in the study (these numbers may change based upon review of the 2002 FAIR Act Inventory). This may be the first-of-its kind IT Department-wide functional study throughout the Federal Government.

U.S. Department of Energy E-Government Strategic Action Plan

In support of the PMA, and to address competitive sourcing concerns and enhance DOE's market-based and innovative IT operations, the Department will:

- Sustain a skilled pool of talented IT professionals who can plan, operate, and support the IT environment of the future;

- Ensure that all staff have the skills and knowledge to use modern technology effectively to enhance their effectiveness;

- Explore outsourcing alternatives to augment Government personnel;

- Foster and incentivize a technology-enabled and information-rich culture; and

- Build Information Management (IM)/IT competencies to shape the workforce of the future.

Improved Financial Performance & Budget and Performance Integration. The PMA includes the following priorities in these two areas:

Improved Financial Performance:

- Eliminate erroneous benefit and assistance payments (Online Eligibility Assistance, e-Vital, Consolidated Health Informatics);

- Generate accurate, timely and integrated financial information (Enterprise HR Integration, payroll Processing, Integrated Acquisition Environment, e-Grants);

- Improve timelines: Re-engineer reporting process and expand uses of Web-based processes; accelerate end of year reporting; measure systems compliance with agency's ability to meet OMB and Treasury requirements (Enterprise HR Integration, e-grants, Expanding Electronic Tax Products for Businesses);

- Enhance usefulness: Integrate financial and performance information (Enterprise HR Integration); and

Budget and Performance Integration:

- Standardize integrated budgeting performance and accounting information systems at the program level to provide timely feedback for management and roll-up to government-wide view and decisions (Enterprise HR Integration as a component); and

- Improve productivity focus for E-Government initiatives with new initiatives being identified in the federal architecture work.

DOE's Project IDEA Enterprise Financial Management initiative will provide a Department-wide financial management system that will electronically integrate budget formulation, budget execution, accounting, financial reporting, activity based management/costing, and performance measurement. The financial management component will also be integrated with the other major corporate business components, procurement and human resources.

Expanded E-Government

In order to better utilize computer information systems to improve management, promote efficient use of resources, and ensure that DOE systems provide more people-friendly information, and access to government services, the Department will continue to strengthen its IT investment portfolio by linking investment control processes. This will be accomplished through the use of DOE's enterprise architecture, and improved security policies and capital planning. Project IDEA E-Government initiatives that incorporate the

> The strategic vision for DOE's E-Government is to unify core applications through a secure environment to simplify access to government services.

mission and goals of the Agency, the Administration's Energy Policy, and the PMA will provide the road map for delivering services to DOE' s communities of interest through FY 2004 and beyond.

APPENDIX A
DOE Definitions of Government to Community "Communities of Interest"

DOE Employees

- *DOE Employees*: all current and retired Federal Departmental employees.

- *National Laboratory and Contractor Employees*: all current and retired National Laboratory employees, M&O contractor and sub-contractor employees, and federal support service contractors.

- *Non-DOE Government Employees*: employees of other federal agencies that have an interest in DOE activities, such as the Department of Transportation, Defense, and Labor.

- *Former Employees*: all retired federal departmental employees, as well as retirees from National Laboratory and DOE contractors.

American Public

- *Energy Concerned*: individuals concerned about the price of energy and its impact on their household budgets, i.e., the price of gas, heating oil, natural gas, etc.

- *Energy Efficient*: individuals interested in learning about energy efficient technology and how they might apply it in everyday life.

- *Environmentally Conscious*: individuals concerned about the effects of current energy sources on the environment. Individuals seeking information on environmentally friendly energy sources such as nuclear power, renewable energy, and alternative energy. Individuals concerned about the actions taken by the Department to resolve the environmental legacy from Cold War weapons production.

- *Transportation Conscious*: individuals interested in utilizing alternative forms of transportation or transportation fuels.

- *Voting Public*: individuals who utilize the Internet to learn more about a specific subject in order to make more informed voting decisions..

- *Limited Access*: individuals who do not have Internet access and rely upon public Internet terminals. Individuals who have limited knowledge of the Internet and how to use it to find and access information they need.

- *Disabled Community*: individuals who utilize assistive technologies to access information

on the Internet.

- *Low Literacy Readers*: individuals who have only a rudimentary level of English comprehension.

Local Residents of DOE Facilities: Neighboring residents of local DOE facilities and family members of facility employees who are interested in the day-to-day activities of the facility and its future plans.

Indigenous Population: Native American tribes interested in utilizing Departmental sponsored technology, such as solar energy, wind turbines, and improved oil recovery systems to improve their standard of living.

Energy Community:

- *Trade Groups*: individuals interested in promoting specific energy sources, such as alternative and renewable energies, fossil fuels, and nuclear power

- *Producer*: individuals involved in the purchase, transportation, and distribution of energy supplies

Scientific Community: individuals interested in advances in science and technology and how the advances might be applied to their everyday life.

Environment Community: individuals concerned about the effects of current energy sources on global climate change.

Educational Community:

- *Student*: students of all ages seeking information related to science and technology, as well as energy sources, production techniques, and supplies. Graduate and research students seeking information on research opportunities and grants.

- *Teachers*: individuals seeking information on science and technology, as well as energy sources, production techniques, and supplies for use in classroom projects.

- *Parents*: individuals seeking information to help their children in school projects, or to identify scholarship and fellowship opportunities.

- *College and Universities*: individuals seeking information on science and technology research grant opportunities.

News Organizations: individuals seeking information on the latest activities of the Department,

advances in science and technology, and on fuel supplies and prices in support of planned news articles.

Representative Arms of Government:

- *Federal:* Representatives and their support staff seeking information on DOE activities in their jurisdictions or under their purview.

- *State and Local*: representatives and their support staff seeking information on DOE activities in their jurisdictions, or DOE initiatives or sponsored technologies that might be utilized to benefit their constituents.

International Citizens and Organizations: individuals living outside the United States interested in U.S. activities concerning energy choice, energy supplies, and advances in science research and technology application.

APPENDIX B:
Crosswalk of IDEA Initiatives with Quicksilver Initiatives

IDEA Initiatives		QuickSilver Initiatives	
New Departmental Web Presence	**G2C**	1	Recreation One-Stop
Streamlined FOIA Processing		2	Gov Benefits
Streamlining Departmental Grants Processing		3	Online Access for Loans
		4	USA Services
e-Med Claims		5	EZ Tax Filing
Intellectual Property Portfolio Online	**G2B**	6	Online Rule making Management
		7	Expanding Electronic Tax Products for Businesses
e-Assessment of Foreign Owned, Controlled or Influenced (FOCI) Companies		8	Federal Asset Sales
		9	International Trade Process Streamlining
e-R&D Portfolio Management, Tracking and Reporting		10	One-Stop Business Compliance
		11	Consolidated Health Informatics
e-Signatures	**G2G**	12	Geospatial Information One-Stop
Nuclear Materials Accountability		13	Disaster Management
CN e-Case Management System		14	SAFECOMM
e-Departmental Integrated Safeguards and Security +		15	e-Vital
		16	e-Grants
Enterprise Financial Management	**IEE**	17	e-Training
Enterprise Human Resources		18	Recruitment One-Stop
Consolidated DOE Intranet (Superduper Portal)		19	Enterprise HR Integration
eXCITE (Extended Common Integrated Technology Environment)		20	e-Clearance
Integrated Document Management System		21	e-Payroll
Secure Network Services		22	e-Travel
e-Procurement		23	Integrated Acquisition
DOE Corporate Repository/Warehouse		24	e-Records Management
25: e-Authentication (Cross-cutting QuickSilver Initiative)			

APPENDIX C:

The Secretary of Energy
Washington, DC 20585

March 27, 2002

MEMORANDUM FOR HEADS OF DEPARTMENTAL ELEMENTS

FROM: SPENCER ABRAHAM /s/

SUBJECT: Implementation of E-Government Management

Electronic Government is one of the five key elements in the President's Management and Performance Plan. The Department is committed to ensuring that technology is prudently introduced and managed in order to increase enterprise efficiency, improve resource management, simplify processes, and unify information flow across business lines. This memorandum describes our plan to establish a task force to begin implementing the President's initiative and asks for your assistance and support in this effort.

Many within the Department are aware of opportunities for using information technologies to improve the service we provide to citizens, business, Federal, and State agencies. Our approach, modeled on the best practices of the private sector, is to tap into that knowledge and use it to identify technologies to reform the way the Department does business.

I have asked Ms. Karen Evans, Chief Information Officer, to lead a high-level task force to develop an action plan and road map. We ask your help to establish opportunities and set in motion a transformation of the Department. The task force will identify priority actions to achieve strategic improvements in the following four areas of service:

- *Service to individuals/citizens (G2C)*: deploy easy to find one-stop shops for individuals, including single points of entry to high quality departmental services.

- *Service to business (G2B)*: reduce burden on businesses by using common standards and consolidating the myriad of redundant reporting requirements.

- *Service to intergovernmental institutions (G2G)*: make it easier for States and localities to meet reporting requirements and participate as full partners with the Federal Government in citizen services while enabling better performance measurements, especially for grants.

- *Internal efficiency and effectiveness*: improve the performance and reduce costs of departmental administration by using e-business best practices in areas such as supply chain management, financial management, and information technology investment.

The task force will operate as an interdepartmental working group over a period of five to six weeks, beginning in April. The task force will report progress to the Department's Management Council and will be successful only if it includes individuals knowledgeable in the Department's programs and experienced in Government reform initiatives. We anticipate the action plan and road map will be completed and approved June 2002.

To assist in this effort, I ask that you identify senior E-Government leaders who report directly to you to work with Ms. Evans in establishing this task force. Please provide names and contact information for your E-Government leader to Mr. Jack Koller (jack.koller@hq.doe.gov) at 202-586-5650.

If you would like more detailed information, please contact Ms. Evans at 202-586-0166.

APPENDIX D:
Project IDEA E-government Task Force Members

Project Lead
Karen Evans
Management Team
Lawrence Gross, Jack Koller

G2C	G2B	G2G	IEE
Team Lead: Adrian Gardner	**Team Lead:** Kimberly Rasar	**Team Lead:** Ed Golden	**Team Lead:** Gordon Errington
Co-Lead: Mike Hillman	**Co-Lead:** Patrick Edgerton	**Co-Lead:** Bobbie Griffin	**Co-Lead:** Warren Huffer
Team Members:	**Team Members:**	**Team Members:**	**Team Members:**
Bob Wells	Bill Underwood (Noel Balthasar)	Jeanne Beard	Bill Sylvester
Shirley Barker	Eugene Duah (Bob Ladesic)	Joanne Whitman	Jim Sledge
Theodore Johnson (Sam Barber)	John Shea	Paul Gottlieb	Paul Coombs
	Rich Minning	Susan Frey	Peter Johnson
			Roger Butler
GDSS Contractor Partner:	**GDSS Contractor Partner:**	**GDSS Contractor Partner:**	**GDSS Contractor Partner:**
Bill Fischer	Jen Lavan	Adam Laux	George DelPrete

Enterprise Architecture
Team Lead:
John Przysucha
Bruce White

APPENDIX E:
Project IDEA Initiatives Summaries/DOE General Goals & Objectives

Project IDEA Initiatives: Government to Citizen			
Initiative	**Description**	**DOE General Goals**	**DOE Objectives**
New Departmental Web Presence	Creates DOE Web site organized around principal Departmental strategic objectives and standardizes individual program office Web site layout.		
Streamlined FOIA Processing	Empowers citizens to make Freedom of Information Act requests and access documents released to the public through a common web site/portal.	Corporate Management: Demonstrate excellence in the Department's environment, safety, and health practices and management systems that support our world-class programs.	CM1: Ensure the safety and health of the DOE workforce and members of the public, and the protection of the environment in all Departmental activities. CM4: Manage information technology systems and infrastructure to improve the Department's efficiency and effectiveness.
e-Med Claims	Transforms the Department's ability to manage employment, exposure, and health data supporting worker claims pursuant to the Energy Employees Occupational Illness and Compensation Program Act of 2000	Energy Resources: Promote the development and deployment of energy systems and practices that will provide current and future generations with energy that is clean, efficient, reasonably-priced, and reliable. Corporate Management: Demonstrate excellence in the Department's environment, safety, and health practices and management systems that support our world-class programs.	EQ3: Reduce the number of deaths, injuries and illnesses and environmental releases from environment cleanup and other operational activities such that DOE organization activities remain below their averages established by DOE's last 5 years of data for (1) Total Recordable Case Rate; (2) Occupational Safety Cost Index; (3) Hypothetical Radiation Dose to the Public; (3) Average measurable dose to DOE workers; and, (5) Reportable Occurrences of Releases to the Environment. CM1: Achieve effective and efficient management of the Department of Energy by implementing the PMA initiatives on Strategic Management of Human Capital; Competitive Sourcing; Improved Financial Performance; and Budget and Performance Integration. CM3: Manage financial resources and physical assets to ensure public confidence. CM4: Manage information technology systems and infrastructure to improve the Department's efficiency and effectiveness.

Project IDEA Initiatives: Government to Citizen			
Initiative	**Description**	**DOE General Goals**	**DOE Objectives**
Streamlining Departmental Grants Processing	Provides grant seekers access to all DOE grant solicitation notices from a common portal and the ability to electronically submit grant applications/proposals	Energy Resources: Promote the development and deployment of energy systems and practices that will provide current and future generations with energy that is clean, efficient, reasonably-priced, and reliable.	ER1: Promote reliable, affordable, clean and diverse domestic fuel supplies. ER2: Promote reliable, affordable, and clean transformation of fuel supplies into electricity and related products. ER3: Increase the efficiency and productivity of energy use, while limiting environmental impacts. NS2: Achieve a robust and vital scientific, engineering, and manufacturing capability needed for current and future certification of the nuclear weapons stockpile and the manufacture of nuclear weapon components under the nuclear testing moratorium. EQ1: Safely and expeditiously manage waste; clean up facilities, environment; stabilize and store nuclear material and spent nuclear fuel, with the intent to complete cleanup of 16 additional sites by the end of 2006 bringing the total number of sites cleaned to 92 out of the total 114. SC1: Provide the leadership, foundations, and breakthroughs in the physical sciences that will sustain advancements in our Nation's quest for clean, affordable and abundant energy. SC2: Develop the scientific foundations to understand and protect our living planet from the adverse impacts of energy supply and use, support long-term environmental cleanup and management at DOE sites, and contribute core competencies to interagency research and national challenges in the biological and environmental sciences. SC3: Explore matter and energy as elementary building blocks from atoms to life, expanding our knowledge of the most fundamental laws of nature spanning scales from the infinitesimally small to the infinitely large. SC4: Provide the extraordinary tools, scientific workforce, and multidisciplinary research infrastructure that ensures success of DOE's science mission and supports our Nation's leadership in the physical, biological, environmental and computational sciences. CM4: Manage IT and infrastructure to improve efficiency and effectiveness.

Project IDEA Initiatives: Government to Business			
Initiative	**Description**	**DOE General Goals**	**DOE Objectives**
e-R&D Portfolio Management, Tracking and Reporting	Provides a one-stop virtual repository for the Department's R&D portfolio	Science: Deliver the scientific knowledge and discoveries for DOE's applied missions; advance the frontiers of the physical sciences and areas of the biological, environmental and computational sciences; and, provide world-class research facilities and essential scientific human capital to the Nation's overall science enterprise.	
e-Assessment of Foreign Owned, Controlled or Influenced (FOCI) Companies	Automates FOCI Companies determination process and aids the Department in reducing adverse security incidents	Corporate Management: Demonstrate excellence in the management of the Department's human, financial, physical and information assets. Successfully implement each of DOE's requirements in the PMA; demonstrate measured progress in resolving DOE's management challenges; and resolve all management recommendations from DOE's IG and GAO within 3 years of issuance.	
Intellectual Property Portfolio Online	Provides private industry with a single point of entry to the Department's intellectual property portfolio	Science: Advance the basic research and instruments of science that are the foundations for DOE's applied missions, a base for U.S. technology innovation, and a source of remarkable insights into our physical and biological world and the nature of matter and energy.	

Project IDEA Initiatives: Government to Government			
Initiative	**Description**	**DOE General Goals**	**DOE Objectives**
e-Signatures	Eliminates manual signatures on official documents by integrating electronic signatures with applications throughout the Department	Corporate Management: Demonstrate excellence in the Department's environment, safety, and health practices and management systems that support our world-class programs.	CM4: Manage information technology systems and infrastructure to improve the Department's efficiency and effectiveness.
CN e-Case Management System	Provides Department-wide view of common, but site-specific information for analysis purposes and permits need-to-know information sharing	Corporate Management: Demonstrate excellence in the Department's environment, safety, and health practices and management systems that support our world-class programs.	CM4: Manage information technology systems and infrastructure to improve the Department's efficiency and effectiveness.
e-Departmental Integrated Safeguards and Security	Allows for electronic receipt, processing, sharing, and archiving of clearance-related data within the Department and across agencies	Corporate Management: Demonstrate excellence in the Department's environment, safety, and health practices and management systems that support our world-class programs.	CM2: Manage human resources and diversity initiatives and implement practices to improve the delivery of products and services. CM4: Manage information technology systems and infrastructure to improve the Department's efficiency and effectiveness.
Nuclear Materials Accountability	Reengineers business processes and integrates stand-alone systems to ensure complete nuclear materials accountability	Environmental Quality: Aggressively clean up the environmental legacy of nuclear weapons and civilian nuclear research and development programs at the Department's remaining sites, safely manage nuclear materials and spent nuclear fuel, and permanently dispose of the Nation's radioactive wastes.	EQ1: Safely and expeditiously manage waste; clean up facilities and the environment; and stabilize and store nuclear material and spent nuclear fuel, with the intent to complete cleanup of 16 additional sites by the end of 2006 bringing the total number of sites cleaned to 92 out of the total 114. EQ2: Obtain requisite licenses, construct and, in 2010, begin acceptance of spent nuclear fuel and high-level radioactive wastes at the repository. EQ3: Reduce the number of deaths, injuries and illnesses and environmental releases from environment cleanup and other operational activities such that DOE organization activities remain below their averages established by DOE's last 5 years of data for (1) Total Recordable Case Rate; (2) Occupational Safety Cost Index; (3) Hypothetical Radiation Dose to the Public; (3) Average measurable dose to DOE workers; and, (5) Reportable Occurrences of Releases to Environment. NS1: Maintain and enhance the safety, security, and reliability of the nation's

| | | National Nuclear Security: Enhance national security through the military application of nuclear technology and reduce the global danger from weapons of mass destruction. | nuclear weapons stockpile to counter the threats of the 21st century. NS2: Detect, prevent, and reverse the proliferation of weapons of mass destruction while promoting nuclear safety worldwide. NS3: Provide the Navy with safe, militarily effective nuclear propulsion plants and ensure their continued safe and reliable operation. NS4: Ensure the vitality and readiness of the NNSA's nuclear security enterprise. NS5: Create a well-managed, responsive and accountable organization. |
| | | Corporate Management: Demonstrate excellence in the Department's environment, safety, and health practices and management systems that support our world-class programs. | CM1: Achieve effective and efficient management of the DOE by implementing the PMA initiatives on Strategic Management of Human Capital; Competitive Sourcing; Improved Financial Performance; and Budget and Performance Integration. CM4: Manage information technology systems and infrastructure to improve the Department's efficiency and effectiveness. CM5: Use appropriate oversight systems to promote the efficient, effective, and economical operation of DOE. |

Project IDEA Initiatives: Internal Efficiency and Effectiveness			
Initiative	**Description**	**DOE General Goals**	**DOE Objectives**
Enterprise Financial Management	Provides the Department with a financial management system that electronically integrates budget formulation/execution, accounting, financial reporting, activity based management/costing, and performance measurement	Corporate Management: Demonstrate excellence in the Department's environment, safety, and health practices and management systems that support our world-class programs.	CM3: Manage financial resources and physical assets to ensure public confidence. CM4: Manage information technology systems and infrastructure to improve the Department's efficiency and effectiveness.
Enterprise Human Resources	Streamlines employee and management personnel actions, training administration, competency/skills management, online vacancy/recruitment, and employee self-service		
Consolidated DOE Intranet (Superduper Portal)	Serves as a secure, single point of entry to all DOE information sources and provides a variety of web-based services such as collaboration, workflow and document management	Corporate Management: Demonstrate excellence in the Department's environment, safety, and health practices and management systems that support our world-class programs.	CM4: Manage information technology systems and infrastructure to improve the Department's efficiency and effectiveness.
eXCITE (Extended Common Integrated Technology Environment)	Consolidates all aspects of common IT systems throughout DOE as a way to improve services, increase IT purchasing power, and reduce overall IT expenditures		
Integrated Document Management System	Integrates multiple components of correspondence, documents, and records management within the Department		
Secure Network Services	Improves on overall security for large volumes of classified information		
e-Procurement	Streamlines procurement and financial assistance award and administration process and provides ability to track personal property and gather more timely information on the contractor workforce		
DOE Corporate Repository/ Warehouse	Maintains, integrates data for corporate reporting and management decision-making		

APPENDIX F:
Legislation Affecting E-Government at DOE

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 Paper Elimination Act (GPEA);
- Government Information Security Reform Act (GISRA).

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 Paper Elimination Act of 1988 (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).

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 her 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 Regulations (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.

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 structures 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, decisions, procedures, and essential transactions.

The Critical Infrastructure Protection Plan (PDD 63) specifies how vulnerabilities that may diminish HUD's ability to achieve its critical mission are to be minimized. The plan identifies the minimum essential functions that HUD must be able to carry out in an emergency and outlines how these functions are to be maintained. In addition, the plan provides for the continuous monitoring of and responsiveness to changes in threats, technology innovations, and improved risk reduction measures.

APPENDIX G:
Summary of Findings From the Interview Process & Research on the Initiatives

Initiative/Portfolio Area	Findings
New Departmental Web Presence (G2C)	An integrated Departmental web site, organized around the principal Departmental strategic objectives, along with a standardization of web content presentation, provides an outstanding opportunity to enhance the Department's efforts to inform and educate the American public on the key role the Department plays in advancing our National Energy Policy, assuring national security, promoting science and technology research and development, and resolving the environmental legacies of the Cold War.
Streamlined FOIA Processing (G2C)	Findings and research identified the need to improve the delivery of Freedom of Information Act (FOIA) services to the American publicly streamlining front-end and back-end processing of FOIA requests by using a common portal and automated workflow solutions (including but not limited to the Internet). Standardizing the entire e-FOIA process and implementing a COTS e-FOIA document management software package (e.g., PC DOCS) will reduce FOIA request response times and potentially save thousands of dollars.
Streamlining Departmental Grants Processing (G2C)	The grants management portal provides a "single point of service" for entities interested in obtaining grant information from the Department. The elimination of redundant application systems and processes will benefit both the grantee community and the Department by streamlining the grant-making application and approval process while simultaneously eliminating redundant grants management systems across the DOE complex. In addition, a single point of reference for grant opportunities will broaden the number of citizens and organizations that benefit from the Department's grant programs each fiscal year.
e-Med Claims (G2C)	The principal reason for building a system to support sharing of electronic health, exposure, and employment records across DOE is to improve the well being of affected workers across the continuum of care provided by physicians/service providers and

Initiative/Portfolio Area	Findings
	to improve the quality of information used to approve or reject worker claims. In addition, the system will eliminate duplication and reduce the cycle times associated with past, present, and future worker claims for compensation resulting from toxic exposures at work.
e-Signatures (G2G)	This initiative is essential to electronic government initiatives and is mandated by GPEA and e-Sign legislation.
Nuclear Materials Accountability (G2G)	References to this initiative and/or systems that would fall within it were made in several interviews: the Director, Office of Security and Emergency Operations; the Undersecretary for Nuclear Security, Administrator for the National Nuclear Security Administration (NNSA); Associate Administrator for Facilities and Operations, NNSA; Associate Administrator for Management and Administration, NNSA. Additional information was provided by a Nuclear Materials Program Manager, Defense Programs Operations Division in Oakland and the Director, Office of Plutonium, Uranium and Special Materials, Office of Security.
Counter Intelligence (CN) e-Case Management System (G2G)	The Security Office currently has a database that handles visits and assignments (including foreign visits) called FACTS that interfaces with an FBI System. There seems to be enough common functionality between FACTS and the CN e-Case Management System that a closer look at combining them is warranted.
e-Departmental Integrated Safeguards and Security + (G2G)	The process for obtaining or continuing a security clearance is widely recognized to be cumbersome, time-consuming, and inefficient. The paper-intensive nature of the current process leads to hiring delays; less timely re-investigations, significant lag time in updates to employee clearance information; increased potential for errors; and increased data management and infrastructure costs. In addition, the current process is inadequate from a government-wide perspective. Although there is some variation in agency approaches to the clearance process (e.g., use polygraphs/pre-employment drug screening, use of OPM vs. FBI to conduct the investigation) the information used to assess employee fitness is largely

Initiative/Portfolio Area	Findings
	standard (i.e., personal and employment history, personal and professional references, credit checks, national and local law enforcement agency database checks.) Agencies should therefore take full advantage of opportunities to share information, eliminate redundant data collection and investigation efforts, and gain interagency acceptance of active clearances.
E-R&D Portfolio Management, Tracking, and Reporting (G2B, with IEE impacts)	Those interviewed outlined the need for the current manual and redundant processes to be streamlined and replaced by an integrated automated process. Specific concern was raised about the need for technology to assist with the routing of proposals and peer review. In addition a need for performer status and progress reporting to the Department was cited.
E-Assessment of Foreign Owned, Controlled, or Influenced (FOCI) Companies (G2B)	The FOCI system is currently beyond the prototype stage but requires additional enhancements to handle all of the DOE FOCI processes and determinations. It has the capabilities, when fully developed, to provide DOE and all of the other Federal agencies doing FOCI with a common system to process and analyze FOCI submissions.
Intellectual Property Portfolio-Online (G2B)	Three program offices that are responsible for Intellectual Property expressed the following: the originator of the initiative feels that the licensing process used for (DOE) inventions could be extended to other intellectual property. This is done as a matter of routine by GOCOs within the terms of their operating contracts. An analysis of Office of Science research activity was conducted. This activity could serve as a model for comprehensive performance metrics of DOE research dollars.
Enterprise Human Resources (Internal Efficiency & Effectiveness) (IEE)	Several interviewees expressed major concerns regarding the amount of paperwork required to process personnel actions and training requests. Strong opinions were expressed during the senior management interview process regarding the amount of time it takes to complete simple personnel actions (i.e., details, career ladder promotions), training requests and recruitment actions. They also indicated that a capability is needed for workforce planning/analysis and succession planning.

| Initiative/Portfolio Area	Findings
Enterprise Financial Management (IEE)	Findings indicated that there is a need for timely, accurate financial information at a level of detail sufficient to assist Departmental managers with the management of their programs/projects and corporate decision-making. There also needs to be an availability of reliable financial management systems that meet statutory and regulatory requirements with flexibility/scalability to meet new and changing requirements.
Consolidated DOE Intranet (Superduper Portal) (IEE, and G2C, G2G, and G2B)	From the IDEA interviews conducted, the following requirements from senior management were articulated as necessary to substantiate the effort: • more effective building and development of systems • efficiency of scale and search capability • reduces costs and redundancies associated with operating multiple disparate systems • better sharing of data, faster access to records • improved training • easy access to information • cost and time savings • improved responsiveness • improved visibility allows better management and aids in the decision making process.
e-XCITE (Extended Common Integrated Technology Environment) (IEE)	Interview findings indicated that Senior Executives have already asked the Chief Information Officer (CIO) to take over these common IT services so their staff can focus on program missions. Other executives have expressed concerns about lack of IT standards and interoperability issues.

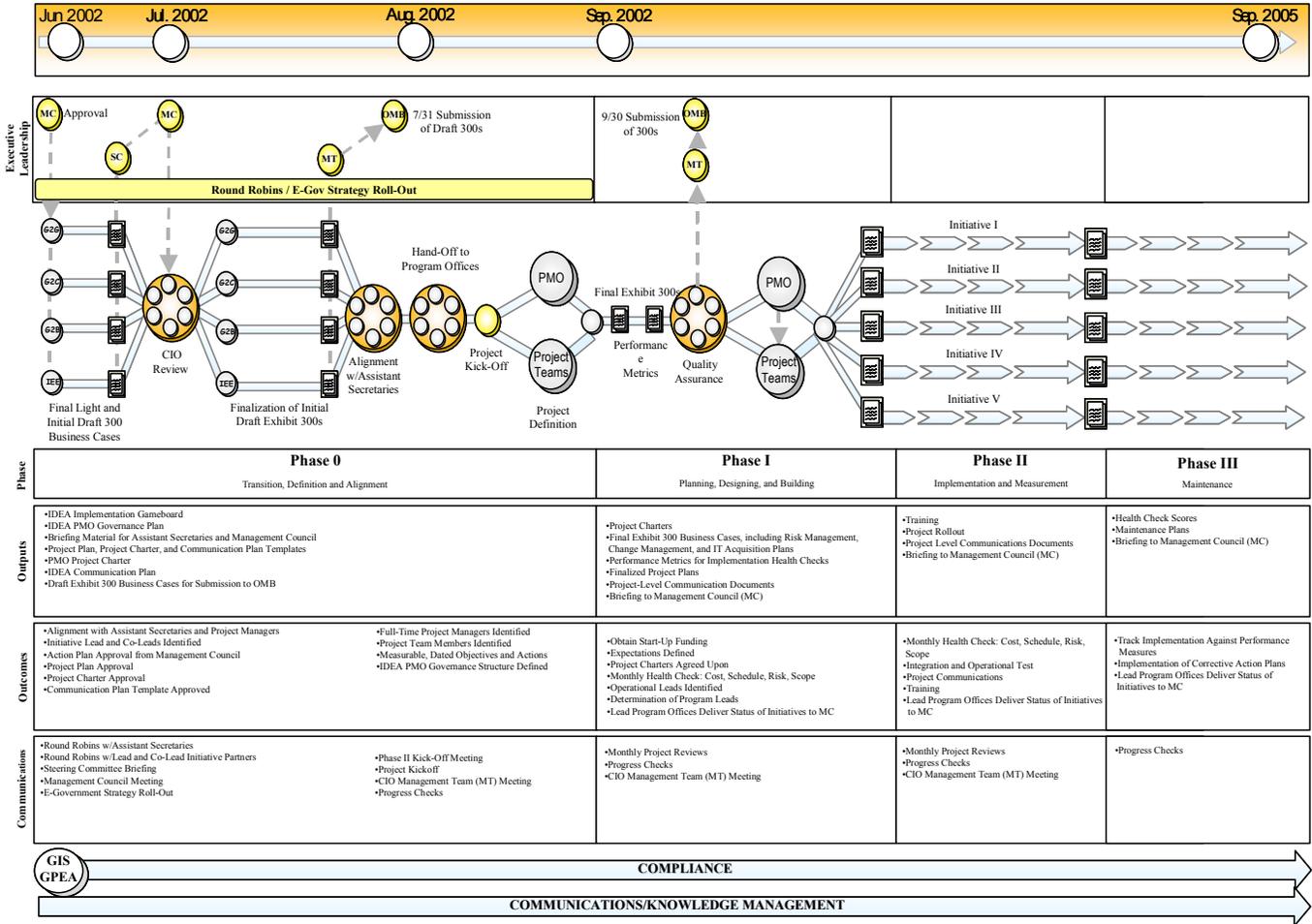| Initiative/Portfolio Area	Findings
Secure Network Services (IEE)	Several Senior Executives expressed concern about the lack of secure networks to improve the timeliness, accuracy, and efficiency of the Department's internal and external collaborative work for sensitive but unclassified as well as classified projects in the intelligence, scientific, and administrative arenas.
e-Procurement (IEE)	The Office of Procurement and Assistance Management has conducted a study, as part of the Strategic Information Management (SIM) process, to determine the most viable solution for modernizing the procurement, financial assistance, and asset management systems. A Business Case has been prepared and Procurement intends on purchasing a full commercial off the shelf product to replace all of its current acquisition and financial assistance systems.
DOE Corporate Repository/Warehouse (IEE)	The concept of a corporate repository/warehouse for integrating and reporting data from the corporate business systems was discussed in detail during the interview with the Chief Financial Officer (CFO). Additional interviews suggested that management could not rely on the budget answers because the same question posed to four different systems produced four different answers.

APPENDIX H:
IDEA Task Force Gameboard
(April-July 2002)

This Gameboard outlines the steps taken by the Idea Task Force to identify the inventory of E-government initiatives at DOE.
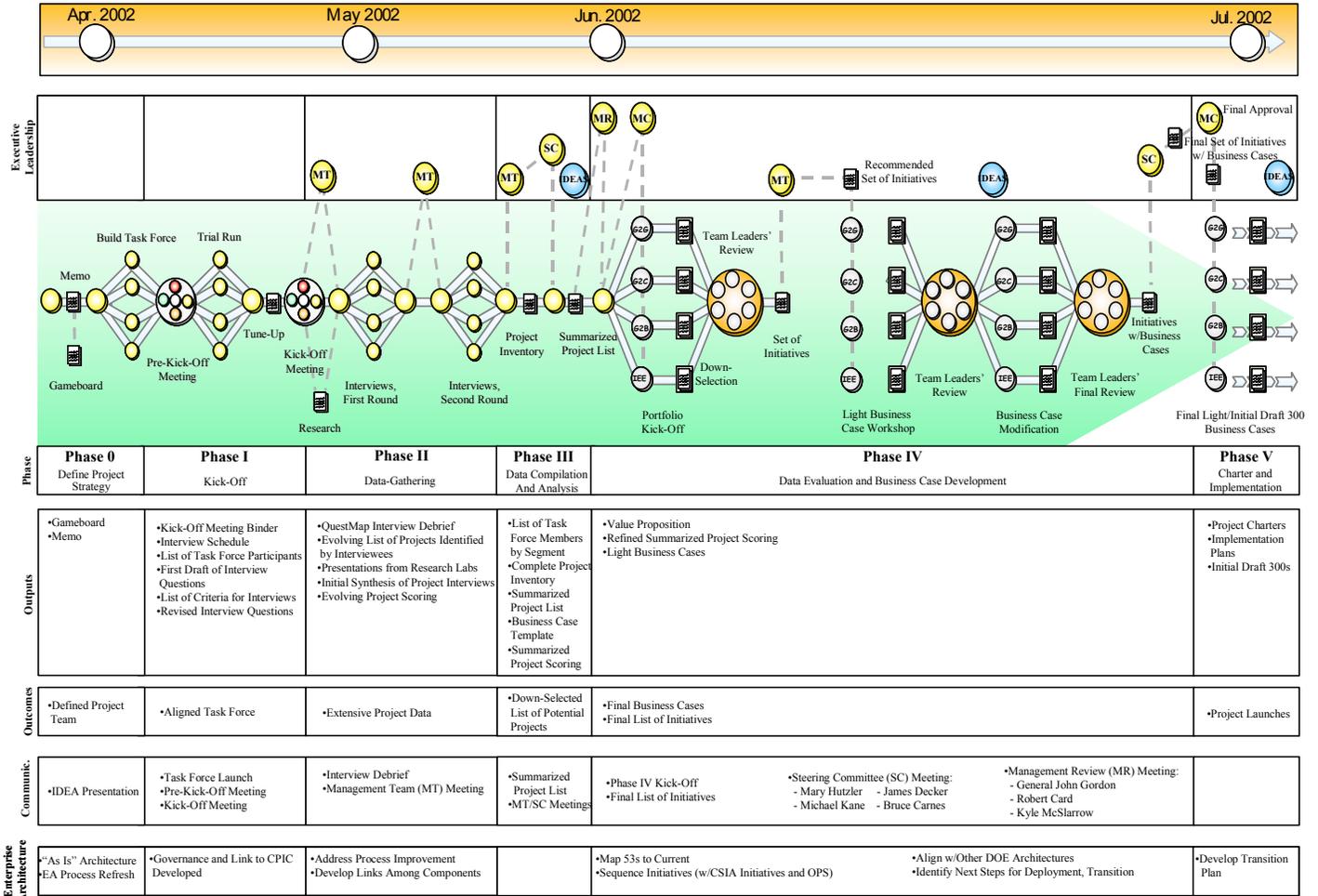
APPENDIX H continued:
IDEA Task Force Next Phase Gameboard
(June 2002-September 2005)

This Gameboard outlines the Department's plan to implement the 19 IDEA initiatives.

Jun 2002	Jul. 2002	Aug. 2002	Sep. 2002	Sep. 2005

Executive Leadership

- MC Approval
- MC
- SC
- OMB 7/31 Submission of Draft 300s
- MT
- 9/30 Submission of 300s
- OMB
- MT

Round Robins / E-Gov Strategy Roll-Out

Hand-Off to Program Offices
PMO
Final Exhibit 300s
PMO
CIO Review
Alignment w/Assistant Secretaries
Project Kick-Off
Project Teams
Performance Metrics
Quality Assurance
Project Teams
Final Light and Initial Draft 300 Business Cases
Finalization of Initial Draft Exhibit 300s
Project Definition

Initiative I
Initiative II
Initiative III
Initiative IV
Initiative V

	Phase 0	Phase I	Phase II	Phase III
Phase	Transition, Definition and Alignment	Planning, Designing, and Building	Implementation and Measurement	Maintenance
Outputs	•IDEA Implementation Gameboard •IDEA PMO Governance Plan •Briefing Material for Assistant Secretaries and Management Council •Project Plan, Project Charter, and Communication Plan Templates •PMO Project Charter •IDEA Communication Plan •Draft Exhibit 300 Business Cases for Submission to OMB	•Project Charters •Final Exhibit 300 Business Cases, including Risk Management, Change Management, and IT Acquisition Plans •Performance Metrics for Implementation Health Checks •Finalized Project Plans •Project-Level Communication Documents •Briefing to Management Council (MC)	•Training •Project Rollout •Project Level Communications Documents •Briefing to Management Council (MC)	•Health Check Scores •Maintenance Plans •Briefing to Management Council (MC)
Outcomes	•Alignment with Assistant Secretaries and Project Managers •Initiative Lead and Co-Leads Identified •Action Plan Approval from Management Council •Project Plan Approval •Project Charter Approval •Communication Plan Template Approved •Full-Time Project Managers Identified •Project Team Members Identified •Measurable, Dated Objectives and Actions •IDEA PMO Governance Structure Defined	•Obtain Start-Up Funding •Expectations Defined •Project Charters Agreed Upon •Monthly Health Check: Cost, Schedule, Risk, Scope •Operational Leads Identified •Determination of Program Leads •Lead Program Offices Deliver Status of Initiatives to MC	•Monthly Health Check: Cost, Schedule, Risk, Scope •Integration and Operational Test •Project Communications •Training •Lead Program Offices Deliver Status of Initiatives to MC	•Track Implementation Against Performance Measures •Implementation of Corrective Action Plans •Lead Program Offices Deliver Status of Initiatives to MC
Communications	•Round Robins w/Assistant Secretaries •Round Robins w/Lead and Co-Lead Initiative Partners •Steering Committee Briefing •Management Council Meeting •E-Government Strategy Roll-Out •Phase II Kick-Off Meeting •Project Kickoff •CIO Management Team (MT) Meeting •Progress Checks	•Monthly Project Reviews •Progress Checks •CIO Management Team (MT) Meeting	•Monthly Project Reviews •Progress Checks •CIO Management Team (MT) Meeting	•Progress Checks

GIS GPEA → COMPLIANCE

COMMUNICATIONS/KNOWLEDGE MANAGEMENT

APPENDIX I:
Crosswalk of Project IDEA Initiatives with Corresponding Performance Metrics

Project IDEA Initiatives: Government to Citizen			
Initiative	**Description**	**Value Proposition**	**Initiative Performance Metrics**
New Departmental Web Presence	Creates DOE Web site organized around principal Departmental strategic objectives and standardizes individual program office Web site layout	Will provide seamless access to Departmental information with low development cost to assist the Department in informing and educating the public on current energy initiatives	• 50% increase in number of user's sessions in the first six months of operation over the existing energy.gov usage, 100% increase at the conclusion of the first year, and a 200% increase by the end of the second year of operation • Reduction of 50% in request for users request for general information (vice detailed information) submitted to the DOE Webmaster within six months of operation, 75% reduction by the end of the first year of operation • In the first six months of operation, program offices will submit collectively, on average, one article per day for posting to the new Departmental site, an average of two submittals per day at the end of the first year of operation, three per day by the end of the first year of operation • Public can find 95% of all information they seek on Departmental services and data within three clicks • $5 million in saving resulting from elimination of duplicate contractor staffed web site support centers • Reduction of 50% in the time spent by the public searching for information within 12 months of operation

Streamlined FOIA Processing	Empowers citizens to make Freedom of Information Act requests and access documents released to the public through a common web site/portal	Dramatically improves FOIA delivery to the American citizenry by streamlining front-end and back-end processing using a common portal and automated workflow solutions (including but not limited to internet)	- Reduce the median number of days (50) to process by 50% in FY-03, and 75% in FY-04 - Reduce the median number of FOIA requests processed by 50% by the end of FY-04 - Eliminate backlog of FOIA cases (270) by the end of FY-03
Streamlining Departmental Grants Processing	Provides grant seekers access to all DOE grant solicitation notices from a common portal and ability to electronically submit grant applications /proposals	Will broaden the number of citizens and organizations who are aware of, participate in, and are affected by the grant process and create a wider selection of high quality applicants and eliminate current redundant grant processes spread across the department	- One hundred percent of DOE grant-issuing offices can be found within 2 clicks of the DOE Homepage with 12 months of initiative approval - one hundred percent of DOE grant-issuing offices are using IIPS software to post grant solicitations and receive applications/proposals - Increase the percentage of grant solicitations available through IIPS by 25% per year, increase the number of grant applicants by 20% within 12 months of initiative, 50% with 24 months
e-Med Claims	Transforms the Department's ability to manage employment, exposure, and health data supporting worker claims pursuant to the Energy Employees Occupational Illness and Compensation Program Act of 2000	Will empower affected workers and their beneficiaries to take greater responsibility for their health, exposure, and employment information, ensure better decision-making through the use of the best available health, exposure, and employment information, provide	- Reduce administrative costs by 20% (projected savings of $79 million dollars over 5 years) - Reduce the DOE cycle times for processing worker claims using DOL and NIOSH performance goals by 50%: - Process 80% of DOE claims within 60 days - Complete NIOSH Dose Reconstruction activities within 3 Months - Approve or reject 75% of claims within 30 days - Process 95% of worker claims using an automated DOE-wide

		a seamless and integrated process for claim processing across the federal government, build better evidence-based DOE worker compensation system, and improve public confidence in the Department's commitment to strengthen its records retention responsibilities associated with occupational illnesses	approach to health, exposure, and employment records by the end of FY 04

Project IDEA Initiatives: Government to Business			
Initiative	**Description**	**Value Proposition**	**Initiative Performance Metrics**
e-R&D Portfolio Management, Tracking and Reporting	Provides one-stop virtual repository for the Department's R&D portfolio	Will provide the capability to make strategic investments, increase efficiencies, and align the Department's strategic decisions with investment criteria	• Reduce annual cost to prepare UNICALL response to M&O contractors • Increase number of programs able to accept and review proposals electronically; reduce time between funding decision and funds availability to researchers • Reduce the number of times financial, work authorization, and guidance information require manual reconciliation • Reduce the number of FTE hours required to update research portfolio • Reduce time taken by program offices to respond to queries • Increase the number of program offices accessing crosscut or portfolio data or other program office projects • Increase number of public

			queries on repository • Reduce number of times that responses to questions require • Implement E-R&D Portfolio Management Environment system components in accordance with the approved schedule
e-Assessment of Foreign Owned, Controlled or Influenced (FOCI) Companies	Automates FOCI Companies determination process and aids the Department in reducing adverse security incidents	Will eliminate the need for organizations to automate their idiosyncratic processes and will aid the Department in reducing adverse security incidents	• Implementation completed within schedule and budget • A comprehensive repository of FOCI requests and assessments will be completed by 9/04 • 100% success rate in achieving the appropriate FOCI determination is achieved
Intellectual Property Portfolio Online	Provides private industry with a single point of entry to the Department's intellectual property portfolio	the public will obtain greater insight into the value of DOE R&D, the number and value of operational licensing will increase, and DOE will be able to exercise increased management of R&D and licensing processes through enhanced inventory and reporting capabilities	• Single point entry within 18 months of project start date • Within 12 months of project inception, a baseline of Department technologies and currently operational licenses will be established • Within 12 months of system implementation, the private sector value of current licenses today will increase by $4M • total private sector value of licenses will double within 5 yrs

Project IDEA Initiatives: Government to Government			
Initiative	**Description**	**Value Proposition**	**Initiative Performance Metrics**
e-Signatures	Eliminates manual signatures on official documents by integrating electronic signatures with applications throughout the Department	Will produce benefits in terms of reduced demand for paper, create faster document routing and approval, and facilitate compliance	• Increase number of documents using electronic signature • Reduce paper copies with manual signature • Increase number of processes that are totally electronic

		with GPEA	
Nuclear Materials Accountability	Reengineers business processes and integrates stand-alone systems to ensure complete nuclear materials accountability	Will improve nuclear materials management and enhance national security	• Provide ability to retrieve accurate information within 24 hours • Decrease in error rate • Reduced redundant data entry and collection
CN e-Case Management System	Provides Department-wide view of common, but site-specific information for analysis purposes and permits need-to-know information sharing	Will improve national security by providing enhanced analytical capabilities and more comprehensive information to investigators, along with more efficient information sharing among agencies	• Metrics are established in several areas ranging from operational availability, field utilization and operational impact.
e-Departmental Integrated Safeguards and Security +	Allows for electronic receipt, processing, sharing, and archiving of clearance-related data within the Department and across agencies	Provide integration of personnel security data and clearance information with Departmental human resource and access control systems, coupled with the ability to securely share information with other agencies and stakeholders	• Lower processing time for DOE-owned clearance related functions (i.e., obtaining employee info, providing to OPM, receiving investigation results, and adjudication) • Reduce human resource, data, and infrastructure requirements through process streamlining • Ability to allow a single point of entry for information needed for multiple systems • Decrease costs associated with redundant investigations and related hiring delays

Project IDEA Initiatives: Internal Efficiency and Effectiveness			
Initiative	**Description**	**Value Proposition**	**Initiative Performance Metrics**
Enterprise Financial Management	Provides the Department with a financial management system that electronically integrates budget formulation/execution,	Will provide critical strategic support for the Department of Energy's mission as the solution for Department-wide	• Implement major project development/implementation milestones on schedule and within budget • Support an "unqualified" audit

	accounting, financial reporting, activity based management/costing, and performance measurement	financial operations and reporting to ensure accountability and facilitate improved decision-making	opinion on the Department's Financial Statements • On-time submission of all external financial reports to central agencies • Elimination of Program Office budget and financial systems • Reduce number of ad hoc data calls and eliminate duplicate data calls • System compliance with all federal financial and cyber security requirements • Ability to determine cost of doing business • Use of corporate system to electronically prepare and submit Departmental Budget • Use of corporate system to electronically prepare and track Departmental Performance Measures
Enterprise Human Resources	Streamlines employee and management personnel actions, training administration, competency/skills management, online vacancy/recruitment, and employee self-service	Will provide direct access to human resource information for DOE managers and employees, direct access to human resource information for DOE managers and employees, corporate approach to re-engineering human resource processes, and reduced turnaround time in completing personnel transactions through paperless transaction processing	• Implement new project modules on schedule and within budget (measure compliance with milestone dates and actual costs) • Eliminate use of manual processing for employee generated personnel actions (set % goal for actions processed by employees versus the Personnel Office) • Expand use of online recruitment (set % goal for online recruitments vs. Merit Promotion paper recruitments) • Elimination of program and field personnel and training systems (# of systems – TBD) time required to process a personnel action or training request
Consolidated DOE Intranet (Superduper	Serves as a secure, single point of entry to all DOE information sources and	Will provide a more cost-effective, powerful Web	• Monitor portal visitor information to determine usage, retrieval of information,

Portal)	provides a variety of web-based services such as collaboration, workflow and document management	infrastructure, increase productivity, improve collaboration across organization, lower travel, network, and storage costs	response time in obtaining information, collaboration efforts, access, and overall ease of use
eXCITE (Extended Common Integrated Technology Environment)	Consolidates all aspects of common IT systems throughout DOE as a way to improve services, increase IT purchasing power, and reduce overall IT expenditures	Will provide economies of scale, meet the business needs of the end user functional grouping, reduce costs through levering enterprise buys on standard platforms and applications, improve cyber security, and reduce trouble resolution time	• System availability and restore times • Reduction in average ticket closeout times • Using automated tools for resolutions and updates (remote control, software distribution, proactive infrastructure management) • Reduction in support staff through consolidation • Reduction in total annual software costs • Reduction in total annual hardware cost
Integrated Document Management System	Integrates multiple components of correspondence, documents, and records management within the Department	will facilitate the reduction of duplicative stand alone document management efforts to address business needs	• 25-30% of all FOIA's and data requests will be accomplished through the e-FOIA system by the second year after implementation • Reduce paper purchases throughout the Department • Increase number of processes that are totally electronic • Decrease in response time for responding to Congressional inquiries
Secure Network Services	Improves on overall security for large volumes of classified information	Will provide a more cost-effective, singular infrastructure, increase productivity, reduce search times, improve collaboration across organization thereby	• Monitor secure network periodically to determine frequency in creation of documents, usage, retrieval of information, response time in obtaining information, access, and overall ease of use

		lower travel costs, lower network costs, lower communication costs, and provides a foundation for future web-enable applications	
Project IDEA Initiatives: Internal Efficiency and Effectiveness			
Initiative	**Description**	**Value Proposition**	**Initiative Performance Metrics**
e-Procurement	Streamlines the procurement and financial assistance award and administration process and provides the ability to track personal property and gather more timely information on the contractor workforce	Will replace paper-based and/or partially automated office-specific practices with a single, unified, and standardized system and process for awarding procurement and financial assistance awards and will provide for an improved and faster award process, provide for better decision-making, eliminate redundant and unreliable systems, allow the Department to better leverage its acquisition and financial assistance workforce, and reduce errors	• By the end of the first year after implementation, 35% of all acquisitions and financial assistance awards will be made using e-Procurement • By the end of the second year after implementation, 50% of all acquisitions and financial assistance awards will be made using e-Procurement • By the end of the third year after implementation, 75% of all acquisitions and financial assistance awards will be made using e-Procurement • By the end of the fourth year after implementation, 100% of all acquisitions and financial assistance awards will be made using e-Procurement • By the end of the second year after implementation, 100% of all personal property located at the facility management contractor sites will be administered and accounted for in the Asset/Property Management module • By the end of the second year after implementation, 100% of the facilities management contractor salary, benefits, pension, and demographic information will be available online via the Contractor

			Human Resources Management module
DOE Corporate Repository/ Warehouse	Maintains and integrates data essential for corporate reporting and management decision-making	Will manage and appropriately share corporate data throughout the DOE, help DOE reduce these costs substantially, and provide the location, management, security and technology to give appropriate management and availability for this much needed data	• Number of senior managers using output from CRW for decision-making • Number of systems that utilize/rely on the data from the CRW • Number of authoritative systems that supply data into the CRW • Database utilization statistics • Reduced number of ad hoc data calls

APPENDIX J
Crosswalk of IDEA Initiatives with GPEA

Government to Citizens	
IDEA Initiatives	**GPEA**
New Departmental Web Presence	• By providing the public with an easy to use, single entry point to public Departmental information, the Department should experience a decline in request for paper documents. Therefore this initiative is supportive of GPEA.
Streamlined FOIA Processing	• Implement compatible standards and technology for electronic signature used in commerce by industry and state and federal governments. • Utilize COTS packages to promote interoperability and standardization. • Ensure that electronic signatures are reliable as appropriate and provide grounds for technical non-repudiation. • Implement automated technologies that ensure security and authenticity of electronic transactions. • Provide electronic acknowledgment of electronic forms that are successfully submitted • Provide an electronic solution for obsolete paper-driven processes.
Streamlining Departmental Grants Processing	• Implement compatible standards and technology for electronic signature used in commerce by industry and state and federal governments. • Utilize COTS. • Ensure that electronic signatures are reliable as appropriate and provide grounds for technical non-repudiation. • Implement automated technologies that are ensure security and authenticity of transactions. • Provide electronic acknowledgment of electronic forms that are successfully submitted. • Provide an electronic solution for obsolete paper-driven processes.
e-Med Claims	• Establish a compatible and standard format for health, exposure, and employment records. • Provide electronic workflow that includes electronic transfer, receipt, and signature of worker claims.

Government to Business	
IDEA Initiatives	**GPEA**
e-R&D Portfolio Management, Tracking and Reporting	• This project replaces the manual, paper-based processes for R&D management and reporting throughout the DOE complex. Paper Work Authorizations and Field Work Proposals or equivalent will be replaced as well as paper based program/project guidance. Potential replacement of paper based deliverables as well.
e-Assessment of Foreign Owned, Controlled or Influenced (FOCI) Companies	• The initiative will enhance an existing system designed to eliminate a paper intensive process.
Intellectual Property Portfolio Online	• Since the initiative would rely on XML based data interchange with existing automated systems for the bulk of its data, it supports the Government Paperwork Elimination Act.
Government to Government	
IDEA Initiatives	**GPEA**
e-Signatures	• This project supports electronic transactions by standardizing electronic signatures within the Department. It will therefore be documented in the next GPEA plan as a supporting initiative.
Nuclear Materials Accountability	• This project supports GPEA by integrating several disparate systems, many of which already support electronic transactions and record keeping. Additionally, the initiative seeks to reduce paperwork by automating current manual tracking and inventory processes.
CN e-Case Management System	• CN e-Case Management is an electronic case management system, meeting the guidance from the Office of Management and Budget (OMB) regarding implementation of GPEA.
e-Departmental Integrated Safeguards and Security	• In the context of OMB's GPEA guidance, the transactions and record keeping processes associated with granting a security clearance are covered by GPEA. Based on this, a Fundamental Reengineering of the Security Clearance Process initiative would be highly supportive of the Department's GPEA plan.

Internal Efficiency and Effectiveness	
IDEA Initiatives	**GPEA**
Enterprise Financial Management	• Electronic signatures and automated routing/workflow will be used to eliminate paper and streamline processes as much as possible. No bulk report printing is planned. Tools will be made available for customers to query/retrieve and view all information on-line.
Enterprise Human Resources	• EHR will be the official system of record for the Department of Energy for human resource information. It will include the electronic workflow capabilities for both training and personnel actions initiated by managers and employees. Workflow functionality will dramatically reduce the amount of paperwork associated with human resource management
Consolidated DOE Intranet (Superduper Portal)	• Portal technology supports electronic workflow record keeping as well as electronic signatures.
eXCITE (Extended Common Integrated Technology Environment)	• IT Integration and Consolidation supports electronic workflow record keeping as well as electronic signatures.
Integrated Document Management System	• The Government Paperwork Elimination Act (GPEA) mandates that the Department provide the capability to transact business electronically by October 2003. The ability to create, fill, save, and send forms electronically is therefore necessary. An integrated solution will reduce duplicate and redundant systems and reduce the time spent managing documents and records, thus making personnel more productive.
Secure Network Services	• Secure network technology supports electronic workflow record keeping as well as electronic signatures.
e-Procurement	• The current procurement and financial assistance process is largely a paper process. This initiative will use electronic forms, electronic filing, electronic signatures, and electronic process to store these records to eliminate paper as required by GPEA.
DOE Corporate Repository/Warehouse	• Not Applicable.