

Department of the Interior
Report on the Implementation of the E-Government Act
October 2008

Executive Summary

DOI Electronic Records Management (ERM)

In support of the President's Management Agenda (PMA), the Department of the Interior (DOI) serves as the Managing Partner for Recreation One Stop, Geospatial One Stop, Geospatial Line of Business (LOBs); as well as a Shared Service Provider for both Human Resource and Financial Management Lines of Business. DOI also performs as a supporting partner for twenty E-Government (E-Gov) initiatives and six additional LOB to further integrate Government-wide operations and IT investments that improve E-Gov services to citizens and businesses. Additional details along with a description of DOI's E-Gov Strategy and IT Strategic Plan are accessible via:

<http://www.doi.gov/e-government/> and http://www.doi.gov/ocio/strategic_plan.html.

Moreover, DOI implements internal agency-specific E-Government initiatives to support the PMA.

This year, as one of DOI's "Top 10 Priorities" (previously established by senior executives), DOI ERM has been identified as the internal agency-specific E-Gov initiative for inclusion in DOI's 2008 E-Gov Act Report. This key initiative will provide DOI with policies and guidance in the maintenance of electronic records to enhance the Department's compliance with Section 207(e) of the E-Government Act of 2002. The DOI ERM will address mechanisms to better manage paper and electronic records through their life cycle. The initiative will reduce costs associated with operating multiple, disparate systems. Moreover, DOI ERM will provide officials with the ability to read records throughout their life cycle as well as provide a central access point to active and inactive records for any Bureau and/or the Department.

In FY 2008, the DOI ERM initiative led to the implementation of the electronic records management function for the eGov eRulemaking application; completion of the DOI electronic records management requirements and software analysis; and creation of a draft policies and procedures document for the DOI Electronic Records Management.

The Department has identified and established 2008 performance measures as follows:

- Implement 20% of DOI Bureaus in electronic records management for eRulemaking;
- 50% of identified electronic systems containing records will have revised records schedules submitted to the National Archives and Records Administration (NARA) for approval; and
- 20% of the Bureaus will have conducted a Capability Maturity Model assessment.

Challenges with respect to implementing the DOI ERM initiative include addressing the items identified below.

- Changes in the business processes and the management of electronic records in lieu of paper.
- New staff involvement in addition to records officers.
- Identifying the additional responsibility for technical, operational, and business staff.
- Practices pertinent to the identification of record and the required training; changes in records management workflow; and the eEducation of users, managers, and Departmental staff.

DOI's CPIC process ensures that IT investments meet business goals, objectives, and plans including schedules and budgets. DOI ERM adheres to the capital planning policies and its defined process for reviewing, approving and monitoring investments to ensure that investments are not redundant and support mission goals. The overall process for CPIC is defined in the Department of the Interior Capital Planning and Investment Control Guide.

Agency Information Management Activities support DOI's mission as follows:
DOI protects and manages the Nation's natural resources and cultural heritage; provides scientific and other information about those resources; and honors its trust responsibilities or special commitments to American Indians, Alaska Natives and affiliated Island Communities.

DOI is committed to cost-effective and consistent access to and dissemination of government information. This is essential to promote a more citizen-centered government and accurate user-friendly information. DOI organizes, categorizes; and makes information searchable across Agencies to improve public access and dissemination. Each Bureau fulfills one or more key elements of the DOI Mission and disseminates information to the general public and to unique customer user communities that relate to its mission. The Information Technology Management Council and other governance boards continuously review information requirements to provide guidance and ensure compliance. Bureaus maintain oversight of their information dissemination processes and are charged adhering to the established Departmental Manual polices.

DOI's compliance with statutory and required standards is keystone for ensuring an effective and responsible knowledge sharing environment. **The Department is committed to its role as a steward of its customers' information!**

Section 1 – Implementation of Electronic Government Initiatives

A. Describe the initiative, the methodology for identification of the initiative and how the initiative is transforming agency operations.

Annually, DOI uses its portfolio management decision making-process to establish investment priorities; identify new for opportunities for modernization, including the identification of business areas in need of transformation. DOI recognizes the importance of sound information and records management practices. In response to senior executives' identification of records management as one of the "Top 10 Priorities; goals were established to drive improvements in support of records management. DOI ERM was established as a part of the IT Strategic Plan (2008 Update – September 2007) to ensure that our stakeholders stay informed; provide appropriate public access, and protect sensitive information from inappropriate release. In FY 2008, DOI established records management as a part of its E-Gov Strategy and internal E-Gov Scorecard.

Therefore, the DOI ERM initiative has been identified as the internal agency-specific E-Gov Initiative for inclusion in the 2008 E-Gov Act Report. This key initiative will provide DOI with policies and guidance in the maintenance of electronic records. Moreover, the DOI ERM will address mechanisms to better manage paper and electronic records through their life cycle. The initiative will reduce costs associated with operating multiple, disparate systems. DOI ERM will provide the ability to read records throughout their life cycle as well as provide officials with a central access point to active and inactive records for any Bureau and/or the Department. The challenges, as identified below are viewed as opportunities to strengthen records management practices across the Department.

Challenge/ Opportunity	Subcomponents	Description
Change in business process	Electronic instead of paper	<ul style="list-style-type: none"> • Additional staff involved – not just records officers. • Additional responsibility for technical, operational, and business staff
	Identification of record	<ul style="list-style-type: none"> • Where in the process? • Who determines? • Who is responsible (i.e. determination of roles and responsibilities)?
	Training	
Change in records management workflow	Electronic instead of paper	<ul style="list-style-type: none"> • Multiple media formats • How to determine record / non-record? • When to determine record / non-record?
	Training	
Education of users, managers, Department staff	<ul style="list-style-type: none"> • Definition of Record • Employees responsibilities 	self explanatory

B. Explain how your Agency maintains an ongoing dialogue with interested parties to find innovative ways to use information technology for the initiative.

The DOI ERM initiative involves conducting monthly meetings with all Bureau Records Officers and interested CIO staff to discuss the status of information technology as it relates to records management. We have reviewed Bureau document management initiatives to determine if electronic records management can be introduced with little to no disruption. Two of the nine rule making Bureaus have implemented electronic records management in the eRulemaking initiative. These Bureaus have totally revised their rule making process to incorporate technology into each step. Document management, scanning, uploading and downloading of all information has been incorporated into their business processes.

The DOI ERM Project Manager introduces new ideas and provides the Bureaus with information concerning new technology in the public and private sectors regarding records management. DOI continues to participate on inter-agency workgroups, attend inter-agency seminars, and conduct presentations at several seminars and workgroup meetings. These interactions with other Federal, State, and Private organizations have provided for external “information sharing” opportunities as well as equipped DOI officials with additional insight and information to assist DOI in planning our ERM initiative.

C. Identify external partners (e.g., Federal, State or local agencies, industry) who collaborate with your Agency on the initiative.

DOI and NARA have formed an alliance to collaborate on the DOI ERM project. NARA staff officials attend workgroup meetings, provide guidance, and assist DOI in the creation of guidance for electronic records management.

DOI participates on interagency workgroups and forums while sharing ideas with other Federal, State, and Private associations. DOI has met and collaborated with Department of Defense, U.S. Mint, Department of Agriculture, and Environmental Protection Agency on electronic records technology analysis and reports.

D. Identify improved performance (e.g., outcome measures) by tracking performance measures supporting Agency objectives and strategic goals.

In FY 2008, the DOI ERM initiative implemented the electronic records management function for the eGov eRulemaking application; completed the DOI electronic records management requirements and software analysis; and created draft policies and procedures for the DOI ERM.

Performance Measure: The Department has identified and established performance measures indicated below.

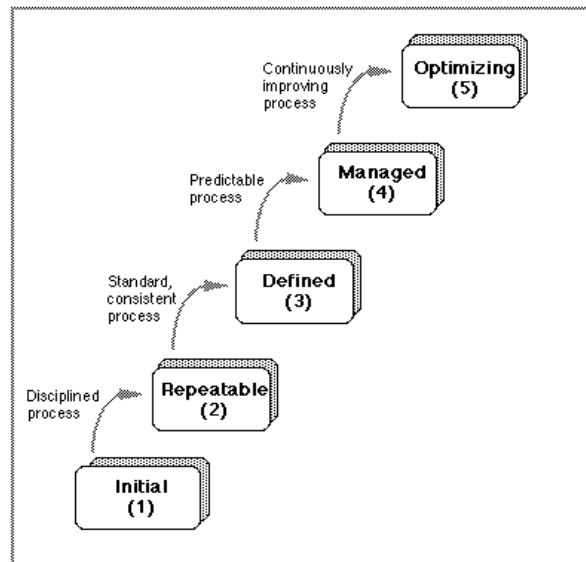
- Implement 20% of DOI Bureaus in electronic records management for eRulemaking.
- 50% of identified electronic systems containing records will have revised records schedules submitted to NARA for approval.
- 20% of the Bureaus will have conducted a Capability Maturity Model assessment.

In FY 2009, the DOI ERM initiative plans on reviewing and revising draft Electronic Records Management policies and procedures; as well as establishing three (3) proof of concept ERM projects.

Performance Measure:

- The remaining 50% of identified electronic systems containing records will have revised records schedules submitted to NARA for approval.
- An additional 20% of the Bureaus will conduct a Capability Maturity Model assessment.
- Implement an additional 20% of the Bureaus in electronic records management for eRulemaking.

The Capability Maturity Model (CMM) shown below is used to track progress.



** The above maturity model is based on the CMM developed by the Software Engineering Institute at Carnegie-Mellon University.*

In FY 2010, the DOI ERM initiative will review the status of the proof of concept projects initiated in FY 2009; implement an electronic records management strategy for all DOI Bureaus; and develop a plan for implementation of a DOI ERM application for select business processes.

Performance measures:

- DOI will conduct CMM assessments for 20% of Bureaus.
- Begin implementation of the DOI ERM application.
- Implement an additional 20% of the Bureaus in electronic records management for eRulemaking.

E. Quantify the cost savings and cost avoidance achieved through implementing the initiative (e.g., by reducing or eliminating other investments in information technology).

The ERM project is in the planning stages; therefore, detailed cost savings and cost avoidance metrics will be identified in 2009. DOI ERM will result in enormous benefits by supporting legal requirements and ensuring DOI’s regulatory compliance. DOI ERM initiative is a long term investment with a plan to make “slow but steady” progress in protecting DOI’s electronic records; supporting E-Gov initiatives; meeting eDiscovery requirements; thereby, achieving strategic goals. DOI has no official electronic records management systems; therefore, no systems will be retired, enhanced and/or modified.

Key Benefits

- Meet legal requirements and ensure regulatory compliance
- Improve DOI employee understanding and awareness of the importance of records management.
- Support better management decision making
- Reduce operating costs
- Improve efficiency and productivity through access and retrieval of information
- Safeguard vital information
- Preserve institutional history
- Increase the ability to preserve information throughout its life cycle.
- Provide consistent management of information in both electronic and non-electronic formats.

Exhibit 300 Costs

In the FY08 Exhibit 300: DOI ERM requested \$1,100,000 and received \$814,000. This funding will be used to support the initiative as follows:

1. Providing FTE salary support.
2. Providing contractor support services to develop the requirements for an electronic records application for DOI.
3. Providing contractor support services to assist in the updating of the Exhibit 300.
4. Providing contractor support services to assist in evaluation of requirements for the creation of a proof of concept electronic records application.

In the FY09 Exhibit 300: DOI ERM requested \$1,100,000. The plan for this funding is as follows:

1. Providing FTE salary support.
2. Providing contractor support services to implement a proof of concept electronic records application for at least one (1) cross Bureau business function.
3. Providing hardware and software acquisition.

F. Explain how this initiative ensures the availability of Government information and services for those without access to the Internet and for those with disabilities.

Under Section 508, the US Rehabilitation Act, Federal Departments and agencies shall ensure, unless an undue burden would be imposed on the Department or Agency, that E-Government and IT allow access to information and data, regardless of the type of medium of technology, subject to the provisions as outlined in Section 508.

DOI is in full compliance with Section 508 of the US Rehabilitation Act. Therefore, web pages that address the DOI ERM initiative are and will be developed in compliance with Section 508 requirements; as well as the Freedom of Information Act (FOIA) and other web maintenance standards.

G. Explain how the project applies effective capital planning and investment control (CPIC) procedures

DOI ERM initiative is managed by Interior's investment control process which includes three essential phases, Select, Control, and Evaluate and links all IT investments to the strategic goals for the Department. The DOI ERM initiative was reviewed by Bureau Heads as well as the DOI's Investment Review Board (IRB) which provided recommendations and made a final investment decision. The Department's IRB assessed the items below for DOI ERM; as well as other investments.

- Benefits that are being realized
- Achievement of costs, schedule and performance goals
- Management and mitigation of risks
- Achievement of strategic goals

DOI ERM was approved by the IRB and identified as one of the initiatives that can improve coordination and collaboration in identifying and managing E-Gov, cross-cutting initiatives across the enterprise to increase efficiency and enhance Mission delivery.

H. Describe the established business process your agency has in place for the continued ongoing process of identification of initiatives.

DOI uses its stringent CPIC and IRB process to address the ongoing process of identifying initiatives. At quarterly points during the ongoing CPIC portfolio management process, the Departmental IRB reviews proposals for new projects to address business needs as well as the status of ongoing projects to make portfolio management decisions. The IRB will continue to use its Management Objectives and Business Priorities criteria identified below to identify and implement initiatives in support of this E-Gov Strategy 2008-2013.

Management Objectives: Criteria to evaluate investments in the CPIC Process.

- Implement legal and judicial mandates
- Respond to internal and executive mandates
- Obtain positive return on investments
- Improve performance (showing links to the DOI Strategic Plan and bureau performance goals, avoiding duplication, managing risk, improving efficiency, achieving specific objectives).

Business Priorities: The second tier of management guidance for portfolio decisions

- Enterprise projects.
- Projects on schedule, within costs, meeting expectations (evaluated through control reviews).
- Projects that are consistent with blueprints

Section 2 – Agency Information Management Activities

The following information is accessible via the website links indicated below.

A. Interior’s Information Resources Management (IRM) Strategic Plan; i.e., Interior IT Strategic Plan FY 2007-2012: http://www.doi.gov/ocio/strategic_plan.html

Interior’s EA Transition Plan:

http://www.doi.gov/ocio/architecture/documents/doi_enterprise_wide_transition_plan_final.doc

B. Final determinations, priorities, and schedules: <http://www.doi.gov/notices/soc.html>

Information dissemination product catalogs, directories, inventories, and management tools: <http://www.doi.gov/ocio/egov/products.html>

C. FOIA handbook, primary FOIA website, and the website link where frequent requests for records are made available to the public:

Primary FOIA Website: <http://www.doi.gov/foia>

FOIA Handbook: <http://www.doi.gov/foia/foitabl.htm>

Frequently Requested FOIA Records: <http://www.doi.gov/foia/frindex.html>

D. A list of Interior’s public websites disseminating research and development (R & D) information to the public, describing for each whether the website provides the public information about federally funded R & D activities and/or provides the results of Federal research:

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

E. An inventory describing formal Agency agreements (e.g., contracts, memorandum of understanding) with external entities (e.g., partnerships with State and local governments, public libraries, industry and commercial search engines) complementing Interior’s information dissemination program, briefly explaining how each agreement improves the access to and dissemination of government information to the public:

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

F. An inventory that describes Interior’s NARA-approved records schedule(s) or the link to the publicly posted records schedule(s), and a brief explanation of Interior’s

progress to implement NARA Bulletin 2006-02. A brief explanation of the number of systems for which a record schedule was submitted to NARA in FY 2007 and the number of systems still requiring records schedules:

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