

**Federal Trade Commission E-Government Report to OMB**  
**Stephen Warren, Chief Information Officer**  
**December 6, 2004**

1. A brief high level overview (a text document of up to five pages) of your agency's implementation of the E-Government Act, including a summary of agency-specific E-Government initiatives. This should not include the 24 Presidential E-Government initiatives. The overview must address the following specific provisions of Section 202 of the Act

a. Summary of agency-specific E-Government initiatives:

Sample agency-specific E-Government Initiative.	How is initiative transforming agency operations?	Other agency partners who collaborate on the initiative.	Improved performance identified by tracking performance measures supporting agency objectives, strategic goals, and statutory mandates.	Quantification of cost savings and cost avoidance created by implementing the initiative (e.g. reduction and elimination of investments), and description of the methodology used to determine savings.
National Do Not Call Registry	The FTC commemorated the one-year anniversary of the National Do Not Call Registry in June 2004. The Registry makes it easier and more efficient for consumers to stop getting telemarketing calls they do not want. As of September 2004, 64 million consumer phone numbers had been registered – 61 percent were registered on the Internet. Registration is free and is available in both English and Spanish. The effort demonstrates how agencies of the federal and state governments can work together, each using their particular jurisdiction and expertise, to protect U.S. consumers. In FY 2004, the Association for Federal Information Resource Management awards committee recognized the FTC for its outstanding work on the Do Not Call Registry. The Registry also received an American Council for Technology Intergovernmental Solutions award at the 2004 Management of Change Conference.	States	Not Available	Not Available
e-Government	The FTC has been a leader in the use of technology and the Internet to inform citizens of its mission without having to enlarge its workforce significantly. Starting in the mid 1990s, the FTC began building interlinked public consumer protection websites, many in connection with other domestic or foreign law enforcement agencies, to educate consumers and to collect and analyze data on a broad range of consumer protection issues, including high-tech fraud and identity theft. In FY 2003, the FTC premiered a redesign of its <a href="http://www.ftc.gov">http://www.ftc.gov</a> website. The redesign reflects the year-long effort of an agency-wide Web design working group. The redesigned site provides better navigation, a faster load time, and a cleaner look. In FY 2004, the FTC installed a new version of its search engine on the agency's website. The updated search engine allows more flexible searching, includes a large number of documents not previously indexed, and provides overall improved access to documents on <a href="http://www.ftc.gov">http://www.ftc.gov</a> .	No Partners	Not Available	Not Available

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Integrated One-Stop Systems	<p>The FTC website provides a wide array of information about the actions and operations of the agency, and direct access to consumer and business education information and publications. In the last several years, electronic distribution of education materials has surpassed print distribution. The site also permits citizens to file online complaints about consumer fraud and identity theft. These complaints are used to target the agency's law enforcement and education efforts. Consumers currently can access the website (including the complaint form) in four languages. Through the <a href="http://www.consumer.gov/sentinel">http://www.consumer.gov/sentinel</a> link, consumers can view summary data collected by the FTC, such as the scams that garner the most consumer complaints; the scams that cost consumers most; the number of identity theft complaints, by state; the types of identity theft most frequently reported; and how to spot and avoid fraud and deception online and off.</p>	No Partners	Not Available	Not Available
Cross-Agency Information Sharing	<p>The FTC Consumer Response Center receives consumer complaints and inquiries through two toll-free telephone lines and postal and electronic mail. Information from these complaints and inquiries is collected in the Consumer Information System (CIS), which contains approximately 4 million entries. The FTC also developed and hosts a secure website, Consumer Sentinel, that makes the consumer complaints accessible to other federal, state, local, and international law enforcement partners. More than 2 million fraud complaints in the database are accessible to approximately 1,150 law enforcement partners (e.g., the FBI, the Postal Inspection Service, 50 State Attorneys General), and the more than 686,000 identity theft complaints are accessible to more than 1050 domestic partners (e.g., the Secret Service, Social Security Administration Inspector General, U.S. Attorney Offices). In FY 2004, the agency implemented a Web service to update the FTC Identity Theft database with records from the National White Collar Crime Center. Collecting this information in one database and sharing it electronically with other agencies reduces redundancy and helps the law enforcement community identify general trends in consumer issues, track the illegal activities of specific businesses, and coordinate investigations and litigation. In February 2003, Consumer Sentinel received an Excellence.Gov finalist award from the Industry Advisory Council's E-Gov Shared Interest Group, in partnership with the Federal CIO Council.</p>	Multiple Federal, State, Local and International Law Enforcement Agencies	Not Available	Not Available

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Electronic Filing of Premerger Information	The Electronic Filing Application (e-Premerger) System became operational in June 2004. The system permits electronic filing of required information about proposed mergers and acquisitions under the Hart-Scott-Rodino Premerger Notification Act. A single integrated system is more efficient for business filers as well as taxpayers. Businesses need only file at a single location, and taxpayers do not need to support two redundant systems. The FTC has managed the development and deployment of this integrated bi-agency system and will operate this system on behalf of the FTC and DOJ. Electronic options allow businesses to select the submission method that is most effective and efficient for them, and reduces the government's administrative cost of reviewing and analyzing filings by reducing paper submissions.	Department of Justice, Antitrust Division	Not Available	Not Available
Electronic Filing for Administrative Litigation	The FTC implemented a consistent e-filing protocol for administrative litigation matters. E-filing will increase efficiency in the processing of adjudicative filings and in posting them to the FTC website. The new protocol will ultimately enable the FTC's Records and Filings Office to determine whether to discontinue scanning administrative litigation filings.	No Partners	Not Available	Not Available
Reducing Litigation Burden	The growing use of sophisticated electronic systems and software in litigation requires the FTC to keep its technology current to remain competitive in the courtroom. The FTC has developed the ability to interface with computerized document production systems that allow law firms to provide documents and information to the agency more efficiently. In addition, the agency is employing state-of-the-art computerized systems that support agency attorneys' litigation preparation and courtroom presentations.	No Partners	Not Available	Not Available
Information Requirements	The FTC has initiated an agency-wide management information requirements project to provide managers with ready information to support data gathering and decision-making. An important goal of the project is to provide timely, accurate, and useful standard reports and ad hoc reporting capabilities.	No Partners	Not Available	Not Available
Improving Productivity	The FTC is embarking on development of an efficient and effective document management system, which will be deployed by the end of 2004. The fundamental system goal is to streamline and automate the process of sending documents and other information through any electronic channel (e.g., Internet, database, e-mail), in any spoken language, regardless of its original data format. The cycle of creating, editing, approving, publishing, and removing outdated content traditionally has been time consuming and inefficient. The agency is re-engineering work processes to enable targeted and accurate interchange of electronic information without technological and administrative barriers. Users will be able to generate, publish, and find information with virtually no learning curve or technical assistance. By establishing consistent work flows and templates that cross organizational boundaries, the system will ensure that information from across the agency can be readily shared, re-used, re-combined, and re-purposed to a variety of uses.	No Partners	Not Available	Not Available

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Computer Security	The FTC emphasized computer security during FY 2004. It strengthened security controls on individual desktop computers and improved controls to limit access to offensive websites. The agency's Information Technology Management Office (ITMO) implemented a Computer Incident Response Team, a comprehensive Disaster Recovery Plan, an Intrusion Detection System, and a Virus Vulnerability Scanning System. The latter two systems allow the FTC to automatically identify and mitigate threats to the agency's information technology infrastructure. An Inspector General audit concluded that the FTC improved computer network security in FY 2004. The agency also instituted a mandatory staff computer security awareness training program, as required by the Federal Information Security Management Act (FISMA).	No Partners	Not Available	Not Available
Infrastructure Enhancements	In FY 2004, the FTC researched, tested, and installed performance testing tools that allow real-time monitoring of information technology infrastructure; so that system failures are identified as they occur. In addition, the agency installed load balancer devices to support all Web servers. The load balancer distributes requests for services among a group of servers, resulting in a more responsive system in the event of a system failure. New redundant high performance servers were installed to improve the reliability and availability of the FTC's critical applications. In addition, ITMO implemented a Voice Over Internet Protocol Phone System, which operates on the agency's network instead of as a separate system, to improve efficiency.	No Partners	Not Available	Not Available

**b. Explain how your agency maintains an ongoing dialogue with interested parties to find innovative ways to use IT.**

The Federal Trade Commission (FTC) contacts appropriate stakeholders as part of every IT project we pursue. As technology changes and the agency's missions evolve, this dialogue with our stakeholders continues so that we may better ensure that the services we deliver today will continue to be effectively delivered in the future. These communications take the form of public comments, FTC hosted forums, workshops, and conferences, and individual communications, among other methods.

**c. Explain how your agency ensures availability of Government information and services is not diminished for those without access to the Internet.**

The FTC routinely responds to requests for services (in multiple languages) via phone, fax, TTY/TTD, and mail in addition to Internet-based methods. The agency's Consumer Response Center is accessible to citizens via these methods and regularly dispenses educational material and receives consumer complaints. The agency is equipped to respond to our diverse constituents via toll-free phone, fax, postal mail, e-mail, and agency websites, as appropriate.

2. **A summary of the implementation of the specific privacy provisions of Section 208 of the E-Government Act. Implementation guidance for the Privacy Provisions of the E-Government Act of 2002 is located at <http://www.whitehouse.gov/omb/memoranda/m03-22.html>. The privacy summary should contain the following three parts:**
- a. **The reporting of each instance where persistent tracking technology is used.**
  - b. **A machine readable agency privacy policy or an explanation of why it is not readable.**
  - c. **The contact information (name, title, phone number, and email) of individual(s) appointed by the head of the Executive Department or agency to serve as the agency's principal contact(s) for information technology/web matters and the individual (name and title) primarily responsible for privacy.**

In compliance with the privacy provisions of Section 208 of the E-Government Act, the FTC posts privacy policies on its websites and conducts privacy impact assessments when required. Further:

- Persistent tracking technology is not used on any Federal Trade Commission websites.
- The FTC employs P3P privacy policies in XML format on agency websites in accordance with the W3C's P3P1.0 specification.
- The principal contact for information technology/web matters is Stephen Warren, Chief Information Officer, (202) 326-2898, [swarren@ftc.gov](mailto:swarren@ftc.gov). The principal contact for privacy is the Privacy Steering Committee, Chair: Judith Bailey, Deputy Executive Director, (202) 326-3609, [jbailey@ftc.gov](mailto:jbailey@ftc.gov).

3. **A summary (a text document of up to two pages in length) of your agency's progress to implement your information technology human resource strategy as described in Section 209 of the Act. The summary must:**

- a. **Identify any specialized job activities necessary to perform the agency mission that have changed since last year's report.**

There were no specialized job activities to perform the agency mission that have changed since last year's report.

- b. **Explain how your IT training plan integrates into the overall agency training plan.**

IT training requirements are identified through an internal assessment process established by the Chief Information Officer (CIO) in close coordination with the agency's Training Council. The Training Council serves an important role in advancing core competency training in the FTC's four mission-critical areas, including IT. CIO designated staff regularly consult with training officers in the Human Resources Management Office to (a) develop an effective IT training strategy, (b) formulate effective individual development plans, (c) identify funds for IT training, (d) develop internal training events for IT staff, and (e) identify training vendors to satisfy IT training requirements. In the past year, this coordination has led to the adoption of e-learning as an effective and cost-efficient learning resource for IT staff.

- c. **Discuss how you have used the results of OPM's Training Report ([www.opm.gov/hrd/lead/pubs/ittpreport\\_07-04/ittpreportJuly2004.pdf](http://www.opm.gov/hrd/lead/pubs/ittpreport_07-04/ittpreportJuly2004.pdf)) to successfully implement training programs to fulfill gaps in your IT workforce.**

We have circulated the OPM Training Report to IT managers to help them better understand Clinger-Cohen core IT training competencies (e.g., acquisitions, leadership and management, performance assessment, and desktop technology, etc.) and to increase their awareness of the diversity of training options available to us. We actively work to identify IT staff that can take advantage of these opportunities.

4. **A brief description of the process your agency has established for determining which information will be made available on the Internet as described in Section 207 of the Act. The description must:**
- a. **Provide the priorities and schedules for making Government information available and accessible.**
  - b. **Explain how these priorities and schedules were available for public comment.**
  - c. **Identify the link where the priorities and schedules can be found on the Internet.**

The Process the Commission Has Established For Determining Which Information Will Be Made Available On the Internet, Pursuant to Section 207 of the E-Government Act.

In Fiscal Year 2004, the Commission continued to provide through the Internet -- as prescribed by Section 207 of the E-Government Act -- public access to virtually all public documents generated in its public proceedings, including administrative and federal court law enforcement proceedings; rulemaking and guide development proceedings; and hearings, workshops, and conferences. In carrying out these efforts, the Commission assigned the highest priority to complying with all applicable statutes, regulations, and Presidential and other official directives, and to effecting mission-critical and essential program operations. To that end, the Commission has placed on its Web site, at [www.ftc.gov/formal.htm](http://www.ftc.gov/formal.htm), electronic copies of virtually all public documents it has authorized or approved since 1996 -- when the Commission Web site was established -- including administrative complaints and consent orders issued pursuant to Part 2 and Part 3 of the Commission Rules of Practice, 16 C.F.R. §§ 2.31-2.34, 3.11, 3.25 (2004); federal court filings; Congressional testimony; Federal Register notices and other documents issued in proceedings involving rules and guides; Commission and staff reports (including all Commission annual reports since 1915); competition advocacy filings; and consumer education materials. These documents typically are placed on the Commission Web site at the same time as the news releases describing them. More recently, the Commission has effected the same approach with respect to all public motions and other filings by the parties -- and all public opinions and orders issued by the Commission and Administrative Law Judges -- in administrative adjudicative proceedings conducted pursuant to Part 3 of the Commission Rules of Practice, 16 C.F.R. § 3.1 et seq.

In addition, with respect to rulemaking, in Fiscal Year 2004 the Commission continued to comply with Section 206 of the E-Government Act. All Commission rulemaking notices and other Federal Register documents published in Fiscal Year 2004 were posted on the Commission's Web site and linked to the news releases describing them. Moreover, the Commission accepted public comments in each of its rulemaking proceedings electronically, through the creation and maintenance of either comment filing forms or email boxes. Furthermore, the Commission made public comments and other documents from its rulemaking docket -- as defined in the Commission's public record rule, 16 C.F.R. § 4.9(b) -- routinely available for inspection and downloading on its Web site. In addition, the Commission continued to participate fully in the ongoing initiative to establish a centralized Federal regulatory docket, at [www.regulations.gov](http://www.regulations.gov).

The Commission will continue to assign the highest priority to providing public access through its Web site to virtually all public documents generated in its ongoing and newly initiated public proceedings. The Commission will also pursue providing such access to as many public records compiled or generated prior to the establishment of the Web site in 1996 as possible. The schedule for achieving this latter objective with respect to particular types of documents will be determined on the basis of legal and mission requirements and priorities; public interest or demand (as indicated, for example, by public comments on the proposed schedule described below); the cost of converting paper documents into an electronically accessible format; the age, condition, and location of the existing paper records; and other relevant considerations. The schedule may be adjusted in the future as warranted to reflect funding and staff availability and technical improvements.

The Commission is now in the process of soliciting public comment on the above priorities and on the following proposed schedule for providing public access through its Web site to copies of as many public documents as possible in the indicated categories:

- Within one to five years: (1) Commission opinions, Administrative Law Judge initial decisions, and administrative complaints and consent orders issued in administrative proceedings; (2) press releases; (3) competition advocacy filings; (4) advisory opinions; (5) acquisition and

divestiture applications and Commission rulings thereon;<sup>1</sup> (6) petitions to quash compulsory process, and Commission rulings thereon; (7) investigation closing letters; (8) minutes of public Commission meetings; (9) notices to the staff concerning standards of conduct; and (10) clearance requests from former agency employees to participate in Commission proceedings, and agency responses thereto.

- Within six to ten years: (1) Interlocutory orders issued in administrative proceedings;<sup>2</sup> (2) continuing guaranties under the textile labeling statutes and rules; (3) appliance energy consumption reports; (4) petitions for rulemaking and guidance proceedings, and Commission responses thereto; and (5) reports of compliance with Commission administrative orders.
- Within eleven to fifteen years: (1) Commission and staff reports; (2) pleadings in administrative proceedings; (3) rulemaking and guidance proceeding documents;<sup>3</sup> (4) transcripts and exhibits in administrative proceedings; and (5) Freedom of Information Act requests and letter responses thereto.

The foregoing priorities and proposed schedule are being placed on the Commission Web site, on the page of the Web site devoted to Commission Web site policies. Members of the public will be able to file comments on the priorities and proposed schedule by means of an email box set up on that page.

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<sup>1</sup> The public documents in the first five categories that will be added date primarily from before 1996, because most public documents in these categories dating from 1996 to the present have already been placed on the Web site.

<sup>2</sup> The public documents in the first category that will be added date primarily from before 1999, because most public documents in this category dating from 1999 to the present have already been placed on the Web site.

<sup>3</sup> The public documents in the first three categories that will be added date primarily from before 1996, because most public documents in these categories dating from 1996 to the present have already been placed on the Web site. In addition, as noted above, all Commission Annual Reports from 1916 to the present have already been placed on the Web site.