

**Department of the Interior (DOI)**  
**Report on the Implementation of the E-Government Act**  
**Fiscal Year 2010**

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| <b>Section I. Innovation and Transparency</b> |
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**Describe your top three E-Government IT accomplishments related to Open Government and innovation from this year. You are encouraged to confer with your Open Government Senior Accountable Official.**

1. **Data Transparency:**

**DOI Open Government Flagship Initiative: Climate Change:**

DOI's flagship initiative focuses on improving access to climate change information. This initiative will provide transparency to the information associated with climate change that is used to support resource management plans. DOI will seek the involvement of partner agencies to identify solutions that work, not only for DOI's climate change interests, but also for those across the Federal space. The approaches used in identifying information and establishing standards may be leveraged for other cross-Governmental initiatives in the future. Although this initiative is still underway for Fiscal Year (FY) 2011, significant progress has been made to date. DOI has developed a conceptual architecture that provides a design framework for metadata catalog that feeds Data.gov and establishes a platform for integrating distributed datasets from across the Department. A cross-departmental team to leverage existing solutions and lead implementation has also been established, as well as coordination with other partners across the Federal Government and with external partners.

2. **DOI Innovations & Efficiencies Team (DIET) Program**

In response to current DOI events and the new business needs of the organization, the Assistant Secretary for Policy, Management and Budget (PMB) chartered the DOI Innovations and Efficiencies Team (DIET), to make recommendations on how DOI can "Do Better IT For Less". The overarching goal of this critical DOI program is to establish a virtuous cycle of innovation for IT at the Department. The emphasis is placed on promoting innovation and efficiencies to drive cost reductions in the current information technology (IT) operating environment. The team convened in January 2010 and was charged by its executive sponsor, the DAS for Technology, Information and Business Services, and the DOI Chief Information Officer (CIO) to begin the task of developing and substantiating recommendations. On April 1<sup>st</sup>, Deputy Secretary David Hayes approved and provided initial funding for the planning and design phase for foundational improvements to DOI's IT environment, based on seven compelling, specific business cases. The projects launched by this critical DOI program in FY 2010 are:

1. Risk-based Information Security Services (RISS)

2. IT Infrastructure Consolidation
3. Unified Messaging
4. Workstation Ratio Reduction (WRR)
5. Radio Site Consolidation

**RISS:** This project was approved to identify innovations in DOI's IT security posture by improving cross-Bureau/Office data communications and reducing the IT security total cost of ownership (TCO) through the development of a new IT security policy, which will increase efficiencies in risk-based security determinations. The first innovation launched during FY 2010 was a CIO directive that Bureaus/Offices stop duplicative, expensive certification and accreditation (C&A) processes. The cost avoidance in FY 2010 is summarized in section M of this report.

**Infrastructure Consolidation:** The primary focus of this project in FY 2010 was to achieve the OMB requirements for the Federal Data Center Consolidation Initiative (FDCCI) by providing draft and final IT Asset Inventory and Data Center Consolidation Plan deliverables by August 30, 2010. It also includes establishing a baseline for IT Asset Inventory by utilizing existing DOI tools to enable auto-discovery of Bureau/Office IT assets whenever possible.

**Unified Messaging:** The DOI CIO identified the need for a single e-mail system for the Department. Microsoft Exchange was chosen as the single consolidated e-mail solution for consistency and interoperability with DOI enterprise license purchases. The primary objective of this project is to improve the quality and consistency of messaging services to approximately 75,000 e-mail users across all DOI Bureaus and Offices. This service will be provided with 24/7 support at less cost than DOI is currently paying. The secondary objective is to lay the groundwork for future enhancements to communications and collaboration capabilities and to provide DOI Bureaus and Offices with the means to implement these capabilities.

**Workstation Ratio Reduction:** This project objective is to reduce the ratio of workstations to DOI staff (employees and contractors) from the current 1.5 per person to 1.2 per person by 2014. In FY 2010, the project successfully established the FY 2010 baseline ratio of workstations to employees from which changes will be measured and assessed against goals.

**Radio Site Consolidation:** This project was approved to evaluate the feasibility of leveraging existing Memoranda of Understanding (MOUs) with the States of Wyoming and Montana. DOI's goal is to share DOI's radio spectrum in exchange for utilizing State radio infrastructure. Exploration of feasibility has included validation of financial assumptions made, including cost savings/cost avoidance opportunities and improvement of the end user experience. This project collected radio site physical, financial and technical information for the five DOI Bureaus with radio operations in Wyoming and Montana. Alternatives analysis will result in implementation plans for those sites where transitioning is beneficial.

Three DOI Organizational Assessment performance metrics were established in FY 2010 with the criteria presented in the table below. The results for DOI's fourteen Bureaus/Offices were

excellent. For Unified Messaging, all Bureaus/Offices scored green in FY 2010. For IT Asset Inventory, all but three Bureaus scored green, and for DIET Project Participation, all but one Office scored blue.

| Office of the Chief Information Officer<br>FY 2010 Organizational Assessment (OA) |   |  |  |
|---|---|--|--|
| DOI Innovation & Efficiency Team (DIET)<br><i>Do Better IT For Less</i>           |   |  |  |
|   | Unified Messaging   | IT Asset Inventory   | DIET Project Participation   |
| RED   | Bureau/Office does not have an accepted Project Plan for migrating to Enterprise Unified Messaging.         | Bureau/Office has not provided and validated an accurate and complete inventory (all assets, all required attributes) of their IT assets and data centers. | Bureau/Office has not assigned any technical experts to actively support DIET project planning and design activities.  |
| Yellow  | Bureau/Office has an accepted Project Plan, has begun the Project but is not yet "Bureau Ready" to migrate. | Bureau/Office has provided their IT assets and data center inventory but it is not accurate and complete at the time of submission.                        | Bureau/Office has assigned technical experts to support DIET project planning and design activities, but they are not actively contributing to team deliverables.    |
| Green   | Bureau/Office meets all criteria for "Bureau Ready".  | Bureau/Office has provided their IT assets and data center inventory and it is accurate and complete at the time of submission.                            | Bureau/Office has assigned technical experts to actively support the DIET project planning and design activities who are actively contributing to team deliverables. |
| Blue  | Bureau/Office is "Bureau Ready" and has started or completed migration to the Unified Messaging system      | Bureau/Office has continuous monitoring in place that provides up to date inventory of their IT assets   | Bureau/Office representative serving as a DIET project leader or sub-project leader in the planning and design phase.  |

**Section II: Compliance with Goals and Provisions of the Act**

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

**A. Your agency's Information Resources Management (IRM) Strategic Plan and Enterprise Architecture (EA) Plan.** Interior's Information Resources Management (IRM) Strategic Plan FY 2010 -2015: [http://www.doi.gov/ocio/strategic\\_plan.html](http://www.doi.gov/ocio/strategic_plan.html) and, Interior's EA Transition Plan: <http://www.doi.gov/ocio/architecture/documents/DOI%20Enterprise%20Transition%20Plan%20FY2009.pdf>

**B. For each E-Gov initiative, provide final determinations, priorities, and schedules. Also include your agency's information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to your agency's information by the public.** This information is accessible at the Department's Information Dissemination web page at <http://www.doi.gov/archive/ocio/egov/index.html>

**C. Identify improved performance (e.g., outcome measures) by tracking performance measures supporting agency objectives and strategic goals.**  
DOI developed an inventory of key strategic drivers to assist in the evaluation of its IT portfolio. This inventory aligned DOI specific mission priorities with Government-wide technology

initiatives, as well as factoring in major findings by the Inspector General and/or Government Accountability Office (GAO). These drivers were then mapped to agency segments and investments as a basis for prioritizing resource allocation and management focus. This mapping was used to develop a notional IT Governance framework intended to break down organizational silos and realign decision making with common mission objectives. In direct response to the Open Government Initiative, DOI identified several key objectives to create a more transparent and innovative DOI including: creating better relationships between the Government and stakeholders; enabling DOI to understand stakeholders' demand for services more clearly and be more responsive to their needs; increasing the rate of innovation by leveraging public knowledge; and encouraging the development of Open Government programs that can produce significant cost avoidance and mission benefits. DOI is committed to achieving these objectives and has established performance measures of Open Government progress including: number of DOI datasets available on Data.Gov; reduction of Freedom of Information Act (FOIA) backlog; and level of participation in Open Government focused initiatives.

DOI Datasets: In the past six months, DOI has drastically increased the number of datasets available on Data.Gov from 1,135 in March 2010 to 112,698 in September 2010. All major Bureaus have contributed datasets and are committed to the principles of information sharing. In addition, FY 2011 performance metrics for Open Government require each Bureau/Office to submit at least four high value datasets annually to receive highest marks. Currently, DOI has the second largest amount of datasets available on Data.gov.

FOIA Backlog: DOI has met with four of the five Bureaus/Offices identified as having significant backlogs (50 or more requests) to determine the reasons for the backlogs, identify remedial actions, and review their progress in meeting their individual reduction targets for FY 2010. Although DOI's backlog has generally declined, some Bureaus have experienced significant spikes in the number of requests received due to the BP/Deepwater Horizon oil spill and other issues. DOI has encouraged Bureaus to proactively post documents of interest to the public (e.g., documents related to the BP/Deepwater Horizon oil spill, to facilitate access by the public and improve transparency). DOI will be deploying its first computer-based training module for FOIA processors on the full range of current FOIA policies and procedures in the spring of 2011.

Participation: All Bureaus actively participated in the Open Government Planning Core Team which was established to develop DOI's Open Government Plan. Since the plan's inception, Bureaus/Offices have continued to be involved in many of the different facets of Open Government. Bureau/Office participation can easily be seen through DOI's flagship initiative as well the National Park Service's, National Historic Photograph Challenge on [Challenge.Gov](#). Currently, DOI is restructuring the leadership structure of Open Government and every Bureau/Office is expected to provide representation and actively participate in Open Government initiatives.

**D. Your agency's FOIA handbook, the URL of your agency's primary FOIA Web site, and the URL where frequent requests for records are made available to the public.** This information is accessible at the Department's Information Dissemination web page at <http://www.doi.gov/archive/ocio/egov/index.html>.

**E. A list of your agency's public Web sites disseminating research and development (R&D) information to the public....** This information is accessible at the Department's Information Dissemination web page at <http://www.doi.gov/archive/ocio/egov/index.html>.

**F. An inventory describing formal agency agreements.** This information is accessible at the Department's Information Dissemination web page at <http://www.doi.gov/archive/ocio/egov/index.html>.

**G. An inventory that describes your agency's NARA-approved records schedules(s) or the link to the publicly-posted records schedules(s), and a brief explanation of your agency's progress to implement NARA Bulletin 2006-02....** This information is accessible at the Department's Information Dissemination web page at; <http://www.doi.gov/archive/ocio/egov/index.html>.

**H. Describe how your agency has implemented use of electronic signatures for appropriately securing electronic transactions with Government and established a framework to allow efficient interoperability.**

Under the auspices of the E-Authentication initiative, DOI inventoried public facing applications and determined that there were no appropriate uses for digital signatures to secure electronic transactions. DOI will be refreshing this inventory as part of our efforts to meet requirements to support the Federal Identity, Credential and Access Management (FICAM) strategy that has been endorsed by the Office of Management and Budget (OMB). Based on the results of that updated inventory and further architectural analysis, DOI has committed to implement digital signatures, as appropriate, in FY2012. As of August 31, 2010, DOI issued Federal Information Processing Standard (FIPS) 201 Personal Identity Verification (PIV) cards with digital signature certificates to over 75% of the employee population. DOI is well positioned to utilize digital signatures for secure electronic transactions, as applications are planned and implemented using that capability.

**I. Describe how your agency has enhanced public participation in Government by electronic means for development and issuance of regulations. (Ex: Regulations.gov)**

DOI uses Regulations.gov as the central access and dissemination point for all regulations and related documents. The site is our primary vehicle for soliciting comments. We ensure that each regulation and appropriate supporting document is posted to the site as soon as possible. Where appropriate, DOI publishes in rules links to individual Bureau/Office web sites where the public can consult other background information related to regulations. During FY 2010, DOI published 64 notices and 184 proposed and final rules, and received over 248,000 comments and supporting documents on Federal Register publications through Regulations.Gov. Public submissions to the Regulations.Gov website, as well as DOI's administration of these

submissions through the Federal Docket Management System (FDMS) benefited the community interested in DOI's activities.

**J. Describe your agency has linked performance goals to key stakeholders, private sector, other agencies, and internal operations in delivering information and services through use of IT.**

In 2010, DOI continued to perform as an established Government-wide Managing Partner for Geospatial One Stop, Geospatial Line of Business (LOB), Recreation One Stop (thru Q3 2010), as well as a Shared Service Provider for both Human Resource and Financial Management LOBs. DOI also performed as a Supporting Partner for sixteen Gov initiatives and six Lines of Business (LOB's) to develop common solutions, whereby Government-wide efficiency and reduced costs can be achieved. DOI established performance goals in support of the above roles. Highlights are provided below.

National Business Center (NBC) Shared Services Provider (SSP) The Consolidated Financial Statement (CFS) System is a DOI major IT investment used to produce DOI's consolidated financial statements. In FY10, the CFS investment met cost and schedule performance milestones as reported in [www.usaspending.gov](http://www.usaspending.gov). DOI and its Bureaus used CFS to prepare FY10's consolidated financial statements and expect to meet future financial reporting deadlines.

The Geospatial LOB U.S. Geological Survey (USGS), Managing Partner recommends a set of common Government-wide solutions that serve the Nation's interests, and the core missions of Federal agencies and their partners, through more effective and efficient development, and interoperability of geospatial data, technologies and services. The LOB achieved important goals in facilitating collaboration and raising transparency of investments. Efforts included direct support for Recovery.gov and Data.gov to promote use of geospatial technologies, techniques and place-based approaches.

The collective E-Gov approaches described above are captured in the Office of the Chief Information Officer's (OCIO) Requirements, which identify DOI-wide IT/E-Gov FY 2010 performance criteria and provide the support needed to achieve our mission. This year, DOI strengthened its performance and incorporated metrics in support of Open Government to promote transparency and public participation in policy making. In addition, the Department established its DOI Innovations & Efficiencies Team (DIET) initiative performance metrics to drive DOI's IT officials toward meeting new, aggressive performance goals that reduce inefficiency.

**K. Describe how your agency has reduced errors through use of electronic submissions.**

Office of Surface Mining (OSM) has the Coal Fee Collection Management System (CFCMS) CFCMS replaced and integrated three (3) legacy systems into one application. The legacy systems are the Fee Billing and Collection System (FEEBACS) that collects Abandoned Mined Land Fees; the Audit Fee Billing Collection System (AFBACS) that records the OSM audits of company filing records; and the Civil Penalty Accounting and Control System (CPACS) which maintains records and fee collection on civil penalties issued against a company. CFCMS allows

for complete integration and record keeping of the financial interactions between OSM and the companies. The fee compliance program is a mission critical program in OSM. The redesign of CFCMS allows OSM to automate the Pay.Gov payment application and automatically apply payment files from the Treasury's Pay.Gov system to debts in CFCMS, thereby reducing errors.

Example of Enabling Infrastructure The OCIO, working with the Homeland Security Presidential Directive 12 (HSPD12) Project Management Office, built the digital sign-in enabling infrastructure and completed functional validation of the HSPD12 smartcard and Entrust certificates in 2010. The validation testing was conducted within the DOI Active Directory (AD) with workstations and mobile devices. The OCIO successfully tested multi-factor authentication via DOI AD and personal computer smartcard readers. Digital signatures and encryption were also successfully tested using Adobe® PDFs, Microsoft® Word, Microsoft® Outlook®, and shared files and folders. Implementation of digital sign-in and digital signature across DOI Bureaus and Offices is planned for completion in FY 2012.

DOI's Human Resources (HR) Shared Service Center (SSC), operated by NBC - the only International Organization for Standardization (ISO) 9001 certified provider successfully provided government-wide, modern, cost-effective, standardized, and interoperable HR solutions to increase operational efficiencies. Along with the DOI, an additional 40 agencies have chosen the DOI HR SSC as their provider. These 41 agencies have a combined Federal workforce of approximately 300,000. The DOI HR SSC's allows customers to mix-and-match best of breed HR systems that automate end-to-end HR business processes, with real time integration between components. Accomplishments in reducing errors through use of electronic submissions include the Federal Personnel Payroll System (FPPS) that receives and/or sends electronic files from/to multiple Federal agencies. NBC continues to work on modularizing its code base (from 13.45% in December 2008 to 29% in August 2010) which allows more system change requests to be processed in releases.

The Workforce Tracking and Transformation System (WTTS) and Entrance on Duty System (EODS) WTTS provides a batch file interface to GSA's USAccess. The efficiencies include accuracy of data across systems through real-time or near-real-time messaging between systems, avoidance of duplicate entry, and more timely notifications of personnel on-and-off boarding. Electronic Contractor Staffing System (eCstaffing) DOI HR SSC developed eCstaffing in FY 2010 that promotes proper, effective and efficient controls around monitoring of contractor staff. DOI HR SSC is the only Federal provider that has a single system that combines personnel action processing with payroll processing. When the 29.8 million data elements a year are updated in FPPS, it is immediately available to the payroll modules in FPPS. This results in significant reductions in error and avoidance of duplicate data entry.

**L. Briefly describe your agency efforts to comply with Section 508.**

DOI is actively following policies and procedures pertaining to Section 508 of the U.S. Rehabilitation Act of 1973. DOI currently has procedures and tools to ensure Bureaus/Offices comply with Section 508 standards and regulations. In accordance with the Access Board Standard's technical provisions, Bureau and Office public Web pages are currently being scanned with the HiSoftware Compliance Sheriff software beginning FY 2010. Bureaus/Offices

are posting procurement solicitations on Federal Business Opportunities (FedBizOpps), which include applicable Section 508 standards. Tools and training are available for Section 508 Coordinators and other applicable DOI employees. A computer-based training module on Section 508 awareness is available for Section 508 Coordinators, employees and contractors involved with the acquisition process.

**M. Quantify the cost savings and cost avoidance achieved through implementation of IT programs. Risk-based Information Security Services (RISS)**

One of the initial projects launched as part of DOI's Innovations and Efficiencies Team (DIET, see section 1), RISS that is creating a new risk-based model for DOI information technology security that best reflects and supports the Department's missions, business functions, and organizational culture. This project is improving the IT security posture within DOI, and enhances that posture by improving cross-Bureau/Office data communications and reducing the IT security TCO through the development of new policies. As part of these efforts, this project will re-write IT security policy to better reflect the nature of DOI's mission and appropriately adjust the IT security posture to fit DOI's risk profile, while protecting mission and business data. The RISS has been tasked with redefining C&A boundaries in the new streamlined and flattened DOI IT infrastructure.

The RISS team has identified areas within DOI's IT security organizations that can be immediately addressed with relatively easy solutions that will provide an immediate return on investment for DOI. The potential IT cost avoidance resulting from this project has been estimated at \$6.6 million over the FY 2010-2013 timeframe, through reductions in reauthorization efforts in FY 2010 through FY 2012. The RISS team achieved its first major milestone on June 3, 2010, with the signing and distribution of a directive memorandum rescinding a redundant DOI requirement for 100 percent security control retesting as a pre-requisite for renewal of IT Security Authorization To Operate (ATO). As part of this project, DOI Bureaus/Offices have established strategies in line with the changed C&A process to achieve cost avoidance. For FY 2010, the following table sums up the confirmed cost avoidance amounts.

| FY10 Cost Avoidance resulting from C&A Reauthorization Process Change |                | Description of how funds were utilized in FY2010  |
|---|----------------|---|
| Bureau  | Cost Avoidance |   |
| BIA   | \$ 76,400      | Funds were applied to develop the mandated continuous monitoring program and apply NIST SP 800-53 Rev 3 security controls |
| BOR   | \$ 10,664      | Funds were re-directed to other IT Security activities  |
| NBC   | \$ 85,000      | Funds were re-directed to other IT Security activities  |
| USGS  | \$ 71,298      | Funds were re-directed to provide a detailed Internal Control Review (ICR) evaluation for all USGS systems.               |
|   | \$ 243,362     |   |