

**Department of the Interior**  
**Report on the Implementation of the E-Government Act**  
**Fiscal Year 2009**

<b>Executive Summary</b>
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The Department of the Interior's (DOI) implementation of E-Government (E-Gov) in accordance with the E-Government Act of 2002 has transformed Departmental operations and improved services to citizens, businesses, and Federal employees. DOI serves as a Government-wide Managing Partner for Recreation One Stop, Geospatial One Stop, Geospatial Line of Business (LOB), 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-Gov initiatives and eight LOBs to further integrate Government-wide operations and information technology (IT) investments. DOI participates in each category of E-Gov that cuts across multiple Federal Agencies and addresses opportunities to provide services (i.e., Government to Citizen, Government to Business, Government to Government, and Internal Effectiveness). As a Managing Partner, Interior maintains an ongoing dialogue with citizens, businesses, state and local government, private industry, and Federal Agencies to find innovative ways to use IT for Interior's E-Gov/LOB initiatives.

Interior works with other Agencies to develop common solutions whereby Government wide efficiency and reduced costs can be achieved. These collective approaches are captured in the Office of the Chief Information Officer's (OCIO) Requirements, which identify DOI-wide IT/E-Gov performance criteria to improve efficiency, meet or exceed targeted performance, and provide the support needed to achieve our mission. Although enhanced services have been provided to citizens with the implementation of E-Gov; an area for new opportunities that has been promoted by the new Administration is "transparency". DOI welcomes the opportunity to better manage and promote transparency and public participation in policy making. In support of transparency, DOI has identified new collective approaches to improve DOI-wide performance. In September 2009, DOI released its new DOI Information Resource Management (IRM) Strategic Plan FY 2010 - FY 2015, establishing *Goal 4: Enable Transparency and Accessibility of Information and Services to the Public* providing the strategic framework required to integrate IT/E-Gov to achieve transparency. Goal 4 will drive DOI's IT officials toward meeting new, aggressive performance targets that promote efficient citizen-centered information services. DOI has been a leader in supporting the President's commitment to a more transparent and open government.

Further, DOI has provided critical support for two key Federal initiatives related to Transparency and Open Government (i.e., Recovery.gov and Data.gov). Recovery.gov supports the American Recovery and Reinvestment Act (Recovery Act) and provides the main vehicle for transparency on how and where Recovery Act funds are invested. DOI's Chief Information Officer, Sanjeev Bhagowalia, serves as the CIO Council Co-Chair for Data.gov. This initiative increases the public's ability to easily find, download, and use datasets that are generated and held by the Federal Government. By employing

its expertise in enterprise architecture and solutions development, DOI was instrumental in building the architecture to support both websites with the use of Web 2.0 technologies.

DOI is committed to providing cost-effective and consistent access to and dissemination of Government 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 user communities that relate to its mission. DOI's Information Technology Management Council and other governance boards continuously review information requirements to provide guidance and ensure compliance. DOI's compliance with statutory and required standards, including Section 508 of the Rehabilitation Act, is key for ensuring an effective and responsible knowledge sharing environment.

This year, we have highlighted the Records Scheduling Initiative that supports DOI's compliance with Section 207(e) of the E-Government Act of 2002. Agencies are required to submit records schedules for existing electronic information systems in steady-state operation or mixed life-cycle stage as of December 17, 2005. As of September 30, 2009, DOI had submitted over 99 percent of the records schedules identified at the start of the initiative. DOI also completed extra work and submitted records schedules for 42 additionally identified systems making a total of 509 records schedules to the National Archives and Record Administration (NARA). The establishment of new records schedules, elimination of duplicate records schedules, and the consolidation of current records schedules can significantly improve information management efficiency and reduce storage costs. Interior's emphasis on achieving sound records management practices has led to the identification of the Records Scheduling Initiative as a key performance measure in the new DOI IRM Strategic Plan FY 2010 – FY 2015.

In summary, DOI's goal is to improve E-Gov with transparency by promoting public engagement and participation in full support of the President's goals. DOI will strive for collective approaches to improve IT/E-Gov performance with transparent and collaborative technologies that make Federal data available to the public. DOI will improve its information management, continue to serve Government as a leader (i.e., Managing Partner, Shared Service Provider, and Supporting Partner) to reduce inefficiency and duplication while optimizing services to citizens with E-Government.

## Section I. Transparency, Engagement, and Innovation

### 1. Describe major transparency initiatives undertaken in the past year and major transparency initiatives planned for the coming year.

**Data.gov:** DOI's Chief Information Officer (CIO), Sanjeev (Sonny) Bhagowalia, serves as the CIO Council Co-Chair for Data.gov. Data.gov was developed by the Federal CIO Council as an interagency Federal initiative. This cross-agency team moved at lightning speed to get Data.gov launched in 2 months. The Data.gov project team was co-led by the Office of Management and Budget (OMB) in close cooperation with DOI and Environmental Protection Agency's (EPA) CIOs and supported by team members from DOI, EPA, and General Services Administration (GSA). Data.gov is a citizen-friendly platform that provides access to Federal datasets. With a searchable data catalog, Data.gov helps the public find, access, and download non-sensitive Government data and tools in a variety of formats. As an important priority of the Open Government Initiative for President Obama's Administration, Data.gov increases the ability of the public to easily find, download, and use datasets that are generated and held by the Federal Government. For the first time, citizens are given a front row seat to see exactly how the Government operates.

The DOI's Open Government Planning Core Team will assist in meeting the requirements of the Open Government Directive (released 12/8/2009) and promote an ongoing climate of transparency, collaboration and participation. New tools and management practices will provide DOI's stakeholders unprecedented levels of visibility and voice. These tools and practices are a key part of the development of DOI's Open Government Plan, released April 7, 2010, and will engage citizens and employees. This plan will outline DOI's commitment to open government and the ongoing identification and publication of datasets to Data.gov.

**Freedom of Information Act:** In response to the President's January 21, 2009 memoranda on the Freedom of Information Act (FOIA) and on Transparency and Open Government and the Attorney General's March 19, 2009 memorandum on FOIA, DOI's FOIA Office, located in the Office of the Chief Information Officer/Chief FOIA Officer, has been working with the Bureaus/Offices to improve transparency in DOI and encourage discretionary and proactive disclosures of information where appropriate. DOI has enhanced employee awareness of the Administration's policies through various briefings, training sessions, and memoranda sent to all employees in July and to Assistant Secretaries and Heads of Bureaus in August 2009. Employees have been made aware of their responsibilities under the FOIA and advised not to withhold information simply because it is technically legal to do so, but rather only when disclosure would result in a specific harm to an interest protected by one of the nine statutory exemptions, e.g., national security, personal privacy, commercial/financial, etc. Additionally, DOI FOIA staff officials have been collaborating with the Bureaus/Offices to identify information of interest to the public and make it available online prior to receiving a FOIA request for it, as well as to make the Department's and Bureaus' FOIA websites more intuitive and customer-focused. The Department will continue its efforts to promote transparency in

fiscal year 2010, provide more timely responses to requesters, and reduce its FOIA backlog. The ultimate goal is to improve our service to the public.

**2. Do you have an innovation you would like to share with the public and the Federal workforce on the Innovations Gallery?**

The United States Geological Survey (USGS) has developed the Twitter Earthquake Detection (TED) System. In this exploratory effort, this system gathers real-time, earthquake-related messages from the social networking site Twitter and applies place, time, and key word filtering to gather geo-located accounts of tremors. This approach provides rapid first-impression narratives and photos from people at the hazard's location. The potential for use of this tool for earthquake detection in populated but sparsely seismically-instrumented regions is also being investigated.

Social networking technologies are providing the general public with anecdotal earthquake hazard information before scientific information has been published from authoritative sources. People local to an event are able to publish information via these technologies within seconds of their occurrence. In contrast, scientific alerts can take between 2 to 20 minutes. By adopting and embracing new technologies and innovative approaches the USGS can augment its earthquake response products and the delivery of hazard information.

For more information on this project, please visit: <http://recovery.doi.gov/press/us-geological-survey-twitter-earthquake-detector-ted/>, in addition, please e-mail [USGSted@usgs.gov](mailto:USGSted@usgs.gov) with any questions or follow [@USGSted](https://twitter.com/USGSted) on Twitter.

**3. How many data sets does your agency have on data.gov?**

As of the date of this report, DOI has 319 datasets published on Data.gov. This includes 13 raw datasets, 4 tools, and 302 geo datasets. Many more datasets are in process. DOI is piloting a tool that will help all Agencies identify many more additional public datasets. In addition, the DOI Open Government Working Group is working with each bureau to develop a clear process and metrics to drive the identification, qualification and publication of new datasets for Data.gov.

**4. Describe your progress in complying with OMB requirements to post all spending data on usaspending.gov.**

DOI is making significant progress in its compliance with OMB requirements to post all spending data on USAspending.gov. The Department is improving its IT investment decision making by providing a broad and immediate awareness of our IT investments. DOI's CIO has worked with the various Bureau representatives to ensure that the updates are made in a timely manner. All OMB requirements have been met and the posting of all the spending data has been completed. This fiscal year, DOI is coordinating with OMB

to reduce the number of individuals that can make updates to the IT Dashboard, thus minimizing the potential for data quality issues.

DOI provides data to USAspending.gov using established Government wide sources and processes. Contract awards are reported by DOI's Bureaus and Offices to the Federal Procurement Data System (FPDS), which provides a feed to USAspending.gov. After FPDS incorporates the Treasury Account Symbol (TAS) in February 2010, DOI will be able to achieve the next level of required FFATA compliance for contract awards. The explanation for FFATA compliance for contracts is as follows:

- The Treasury Account Symbol (TAS) is the field that OMB decided would meet the FFATA requirement to identify the source of funds.
- The Federal Procurement Data System is the statutorily-required place for contract awards to be reported.
- Prior to February 2010, there was not a field in FPDS to report the TAS. Therefore, our contract reporting to USAspending did not include the TAS.
- In February 2010, FPDS was modified to include the TAS as an available and mandatory field. Now we can report the TAS in FPDS.
- Therefore, we are more compliant with the requirements of FFATA for contract reporting than we were before February 2010.

Financial assistance awards are reported through the Government-wide Financial Assistance Award Data System (FAADS), which is heavily supplemented by manual data entry. In 2008, Interior had achieved a good level of compliance. In 2009, edits that were added at USAspending.gov caused most DOI records to be rejected. We will continue to work diligently to try to resolve the issues. Loan information is submitted directly to USAspending.gov. Subcontract reporting will follow the plan to be established by OMB in 2010, using a Government wide system approach. Likewise, assistance sub-award reporting will await a plan to be established by OMB.

**5. What tools is your agency using to advance citizen participation and engagement cite examples of how the agency has used citizen feedback?**

**ePlanning:** DOI currently uses ePlanning, Bureau of Land Management (BLM) and Planning, Environment and Public Comment (PEPC), National Park Service (NPS) to publish and receive comments from the public on proposed management of Federal lands. BLM and NPS developed these tools to help process the suggestions they receive from the public on proposed land use plans. These systems enhance the Bureaus' ability to interact with the public by making this functionality available on the internet thereby removing the barrier of having to visit an office or send comments via regular mail.

**E-Rulemaking (Regulations.gov):** All Bureaus of the DOI have implemented Regulations.Gov and use the Federal Docket Management System (FDMS) to administer comments received from the public on regulatory and other documents that are typically published in the Federal Register. In calendar year 2009, DOI had the most public

comments on its proposed regulations than any other agency. A revamping of the home page for Regulations.gov and a public exchange site have enabled the public greater access to the rulemaking process, enabled easier comment processing, and has allowed the public to see how other interested entities analyze the Bureaus' proposed regulations. This improved public access has allowed the Bureaus to categorize comments in a consistent manner---also improving the public's understanding of how the Bureaus administer the rulemaking process pursuant to the Administrative Procedures Act and the E Government Act.

**GovBenefits.gov:** GovBenefits.gov provides a confidential bilingual website available to all U.S. citizens. The website reflects 15 DOI programs; whereby, citizens have viewed more than 12,000 pages. As a Supporting Partner, DOI works with the Department of Labor through its Change Control Board to refresh GovBenefits.gov and include the feedback from our citizens.

**Geospatial One-Stop (GOS) www.GeoData.gov:** There are several tools used by GOS to advance citizen participation and engagement. Citizens are encouraged to contact the GOS team through the "contact us" link at the bottom of each page on the website. We respond to these emails on a daily basis. Citizens (users) also have the ability to contact the data set owner on every data set in the GOS collection. This can be used to inform the data set owner of errors in their metadata for example. The GOS portal also has communities of interest, and within each of these communities there is a discussion forum. Through the integration of GOS with Data.gov, citizens have the capability to rate data sets in the Data.gov portal. All of the above tools allow for two way dialog and participation for citizens. Other tools for engagement of citizens used by GOS include Geographic Really Simple Syndication is (GeoRSS) feeds and an upcoming newsletter.

**Business Gateway Initiative (www.BusinessGateway.gov):** The Business Gateway Program is a Government-wide effort intended to provide plain language information and services that reduce compliance and regulatory burden on citizens and the small business community. Through the Business Gateway Initiative and the Managing Partner of the program, Small Business Administration, DOI utilizes Business.gov and Forms.gov to reduce compliance and regulatory burden on citizens and businesses. DOI maintains numerous compliance links on the Business.gov website and over 200 forms are available for access on Forms.gov. The Office of Surface Mining is also currently enhancing its Single Source Coal Reporting (SSCR) system to allow businesses to file the required IRS excise tax forms electronically.

**6. Is your agency currently meeting all reporting requirements of M-09-19? If not, what are your plans for becoming compliant?**

The Department of the Interior reports its spending data for direct awards through the Federal Procurement Data System (FPDS) and the Federal Assistance Awards Data System (FAADS). We have a data validation and verification plan and processes in place for reporting to FPDS, and are waiting on the availability of the Treasury Account

Symbol (TAS) field in FPDS to enable compliance with reporting that data element. We do not have the capability currently to gather the TAS through other means. DOI is compliant with the TAS reporting requirements for awards made pursuant to the American Recovery and Reinvestment Act; those awards are able to use a specific data segment within the description field to identify the TAS. We are working with the Government-wide systems within the Integrated Acquisition Environment to identify the means to report subcontract data for FFATA compliance. We are also coordinating that approach with the Office of Federal Procurement Policy and the Federal Acquisition Regulation Councils so that appropriate regulations can be promulgated to require contractors and subcontractors to comply.

## Section II: Information & Technology Management

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

1. 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/guidance/dearpol.htm>

**2. How has the IT Dashboard impacted the investment management process at your agency?**

DOI has a strong focus on the select phase of IT investment management process. However, the use of the IT Dashboard has elevated the exposure of the IT investments, and thus also the management oversight of the IT Investments. The Dashboard has changed DOI's management in how our investment assessment process moves forward. We are changing our IT governance processes to include monthly reviews of our IT projects that will get into greater detail on the specifics of what's going on with each project. We want to focus on key issues and impasses that affect project scope or cause delays, i.e., significant cost variances or risks are areas that senior management can help the project to overcome. The Dashboard is helping DOI with improving stakeholder communications and decision-making. It focuses DOI on better managing the performance of our investments as published on the website.

**3. Describe your agency's efforts in complying with reporting requirement for the IT Dashboard.**

DOI has complied with the reporting requirements of the IT Dashboard by communicating to DOI's IT leadership, Capital Planning and Investment Control (CPIC) Staff, project managers, employees and customers. Specifically, for the 14 DOI Bureaus and Offices, the IT Dashboard is a unifying mechanism that provides one score of an IT project for an agency. Each of the stakeholders can immediately view at a single visual representation how an investment is doing which has created an easier mechanism to communicate about why the

performance of a particular investment is “what it is”. The IT Dashboard has made it easier for DOI to advance the dialogue to concrete actions that are needed on an investment. Overall the IT Dashboard has improved our internal communications and focus on normalizing our view of investments across the board.

Additionally, the implementation of the IT Dashboard has made the IT project stakeholders respond quickly to inquiries. DOI OCIO has communicated to everyone what was occurring with the IT Dashboard and what was required for the team. Further, the DOI OCIO PMD reached out to Bureau capital planners to provide insight into the data quality issues in a spirit of collaboration. The Bureau CIOs paid a greater level of detailed attention to the CIO ratings on IT investment projects, reflecting personal insight into the health of a project. The Bureau CIOs took these ratings seriously and some scores had multiple reviews by the Bureau and DOI CIO to reflect their personal insights on the health of a project prior to finalizing the ratings. Specifically, the IT Dashboard has helped raise awareness and visibility of the DOI CIO role with the Department. However the DOI CIO does not have the direct oversight of each of the Bureau CIOs, nor the authority laid out in OMB M09-02 or CCA 1996.

#### **4. Describe the process your agency is using to apply CIO Evaluations for your major IT investments.**

Currently DOI is utilizing the OMB recommended categories for the CIO Evaluations. At the onset of determining the initial CIO ratings in July 2009, all Bureau CIOs were asked to provide their ratings and justifications to the DOI CIO who then reviewed the ratings as input into his final decision making. The DOI CIO ultimately made the final determination with respect to each CIO’s rating. A process has been put in place to manage changes to the CIO rating based on changes that may occur with an investment. At any point that something changes with an investment, the Bureau or DOI CIO can submit a justification for changing the rating.

For the current fiscal year we intend to look into the possibility of changing the criteria used to determine the CIO rating. As we have updated our investment selection criteria used for fiscal year 2012 Select Phase, we are interested in applying the same criteria to determine the CIO ratings as well. DOI highly recommends the development of a common set of criteria for use across Government for the Operational or Evaluate Phase as it is different than the Select or Control phases. We recommend looking at investments in planning and development differently than investments that are entirely operational.



**5. Outline the progress of integrating the Enterprise Architecture and Capital Planning and Investment Control processes and policies.**

The DOI Enterprise Architecture (EA) and CPIC programs are increasing alignment and integration through a number of actions. The Chief Enterprise Architect for DOI is leading two of the four evaluation areas for the selection of our Budget Year 2012 IT portfolio. These two areas focus on the business value elements including the alignment of investments with Interior's Enterprise Architecture and Strategic Plan. The criteria for business value IT investment selection will form the basis for prioritization of strategic information management sequencing identified in the DOI Enterprise Transition Plan. This will help reinforce the OMB Architect-Invest- Implement performance cycle. The Chief of the Portfolio Management Division and the Chief of the EA and IT Strategic Planning Division routinely collaborate on information management functions and initiatives. The DOI Chief Enterprise Architect is undertaking an initiative to align milestones associated with measuring segment architecture implementation progress with the milestones identified in IT investment business cases. The Enterprise Architecture Division is evaluating the use of The DOI Enterprise Architecture Repository and examining opportunities for improved linkages with the CPIC, project management, asset management and information assurance communities and management systems.

**6. Provide the status and maturity of your modernization roadmap (segment architecture) activity including use by major programs and alignment on shared target architectures.**

Please see attached spreadsheet.

**The following information is accessible via the website links indicated below:**

7. For each E-Gov Initiative, provide the 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.

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>.

8. Provide your agency's Freedom of Information Act (FOIA) handbook, the link of your agency's primary FOIA website, and the website link where frequent requests for records are made available to the public.

DOI FOIA Handbook: [http://www.doi.gov/foia/handbook\\_2004.pdf](http://www.doi.gov/foia/handbook_2004.pdf)

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

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

9. Describe in brief your agency efforts to comply with Section 508 in regards to information management;

Under Section 508 of the U.S. Rehabilitation Act of 1973, 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 actively following policies and procedures pertaining to Section 508 of the U.S. Rehabilitation Act of 1973. In addition, whenever shortfalls are discovered or reported, prompt remediation is undertaken by the appropriate personnel to achieve compliance. Web pages that address various DOI initiatives are developed in compliance with Section 508 requirements, as well as the Freedom of Information Act (FOIA) and other web maintenance standards.

10. Provide a list of your agency's public websites disseminating research and development (R&D) information to the public, and whether or not each website provides the public information about federally funded R&D activities and/or provides the results of Federal research.

A list of websites disseminating R&D information to the public can be reviewed at <http://www.doi.gov/ocio/egov/research.html>.

11. Provide an inventory of formal agency agreements (e.g., contracts, memorandum of understanding, partnerships) with external entities (e.g. partnerships with State and local governments, public libraries, industry and commercial search engines) complementing your agency's information dissemination program, with a brief explanation of how each agreement improves the access to and dissemination of government information to the public.

An inventory of formal agency agreements with external entities that complement DOI's information dissemination program can be viewed at <http://www.doi.gov/ocio/egov/inventory.html>.

12. Provide an inventory that described your agency's NARA-approved records schedule(s) or the link to publicly-posted records schedule(s), and a brief explanation of your agency's progress to implement NARA Bulletin 2006-02. For the brief explanation please report the number of systems for which a record schedule was submitted to NARA in FY 2009 and the number of systems still requiring records schedules.

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

### Section III. Implementation of E-Government Initiatives

#### **1. Describe the initiative, the methodology for identification of the initiative, and how the initiative is transforming agency operations.**

##### **Initiative: Records Scheduling**

The National Archives and Records Administration (NARA) defines records schedules as a type of disposition agreement developed by a Federal Agency and approved by NARA that describes Federal records, establishes a period for their retention by the Agency, and provides mandatory instructions for what to do with them when they are no longer needed for current Government business. The term refers to: (1) an SF 115, Request for Records Disposition Authority that has been approved by NARA to authorize the disposition of Federal records; and/or (2) a General Records Schedule (GRS) issued by NARA.

Section 207(e) of the Act with supplemental guidance from NARA Bulletin 2006-02, NARA Guidance for Implementing Section 207(e) of the E-Government Act of 2002, requires Agencies to submit records schedules for existing electronic information systems in steady-state operation or mixed life-cycle stage as of December 17, 2005.

Additionally, electronic records in legacy systems that were not scheduled before decommissioning of the system also require submission of a records schedule (OMB Circular A-11 defines both steady state and mixed life-cycle stage). By September 30, 2009, Agencies were required to have records schedules for these systems submitted to NARA for all records in existing electronic information systems.

**Methodology:** As part of this Act, DOI identified 467 systems that contain electronic records for scheduling with NARA. In the course of scheduling these systems, DOI Bureaus identified an additional 42 systems that required a records schedule. While records scheduling is a coordinated effort with NARA, the approval of the records schedules is not a DOI function. Therefore, it was agreed that DOI Bureaus would have schedules submitted to NARA by September 30, 2009.

**How the Initiative is Transforming Agency Operations:** As of September 30, 2009, DOI had submitted over 99 percent of the records schedules identified at the start of the initiative. DOI also completed the extra work and submitted records schedules for the additionally identified 42 systems making a total of 509 records schedules to NARA. The majority of these records schedules have already been approved by NARA. DOI awaits approval of the remaining records schedules.

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

In FY2009, DOI achieved cost savings due to the Records Scheduling Initiative:

1. Conservation of resources and leveraging compliance with Government Green Initiatives;
2. Compliance with the Presidential Memorandum on Open Government and Transparency; and
3. Reduced labor and management costs through improved records schedules and associated management of electronic records.

**Cost savings through conservation of resources and compliance with Government Green Initiatives**

IT systems and the associated data centers require special environmental conditions for operations and the compliance with records management requirements that may require printing electronic records to paper, which uses additional resources.

These systems manage electronic documents and may be defined as electronic records. The number of IT systems and associated data centers is reduced through better management of documents and records that require preservation.

Through improved records scheduling, the Minerals Management Service has reduced the management of approximately 650 records boxes resulting in a savings of \$20K/year in FY2009 and a \$140K over the course of an average 7-year retention (based on the reference table below and value-adjusted dollars and subtracting the FRC costs for the same period).

**Estimated Costs for 168 ft<sup>3</sup> of records**

	<b>Office</b>	<b>Records Center</b>
<b>Storage Method</b>	5-drawer letter-size file cabinet	14 shelf high shelving unit
Cabinet/Shelf Purchase Cost	\$20.50/ft <sup>3</sup>	\$5.19/ft <sup>3</sup>
Annual cost over 40 year life	\$0.51/ft <sup>3</sup>	\$0.13/ft <sup>3</sup>
Floor Area Needed	168 ft <sup>2</sup>	30 ft <sup>2</sup>
Floor Area Cost	\$22.73/ft <sup>2</sup>	\$7.14/ft <sup>2</sup>
Storage Ratio	1 ft <sup>3</sup> /ft <sup>2</sup>	5 ft <sup>3</sup> /ft <sup>2</sup>
Rent per cubic foot of storage	\$22.73/ft <sup>3</sup>	\$1.43/ft <sup>3</sup>
<b>Total Cost</b>	<b>\$23.24/ft<sup>3</sup></b>	<b>\$1.56/ft<sup>3</sup></b>

**Source:** NARA "Memorandum to Agency Records Offices and Information Resource Managers: Cost Savings in Federal Records Centers Storage" by James Moore, Assistant Archivist for Records Administration, NI 30.96, December 1995. Total office cost has been adjusted to \$36.20 per cubic foot in FY2010 dollars based on 3% inflation over 15 years. Total records center cost has been adjusted to \$2.43 per cubic foot in FY2010 dollars based on 3% inflation over 15 years.

**Compliance with the Presidential Memorandum on Open Government and Transparency**

Through better identification and scheduling of systems that contain electronic records, DOI can provide more information to the public through data sets (e.g. USGS Science Data Sets). This availability of information provides transparency to Government processes. DOI submitted 509 records schedules to NARA at the end of FY2009. This achievement exceeded our goal of scheduling 467 systems.

**Reduced labor and management costs through improved records schedules and associated management of electronic records**

Through better management of electronic records, the associated costs of labor and resource support are reduced. The new MMS records schedule reduces the number of records schedules from the hundreds to eight schedules. This consolidated approach is referred to as a "Big Bucket" records schedule. A reduction of schedules provides better management of records and information.

The records retention savings, using the labor reference below and table reference above, results in a yearly savings of \$65K.\*

In approximately the last two years, the U.S. Geological Survey (USGS) has moved 2,000 records boxes from employee office space to Federal Records Centers and saving over \$65K in yearly office space costs in two years through improved records schedules and records operations.\*\*

Collectively, DOI bureaus and offices have achieved significant saving through improved records scheduling. First, significant savings are achieved through storage of records at the NARA-approved records centers versus office space. Secondly, savings are achieved through reduced storage fees for records with approved records schedules.

It is estimated that each DOI office and bureau on average has moved approximately 500 records boxes to records centers resulting in a collectively economical storage savings of \$160K. Additionally, records stored at records centers with approved records schedules benefit from additional savings through reduced storage costs versus unscheduled records. This difference is approximately 20% resulting in an additional 7K in savings.\*\*\*

\*The labor calculation is calculated as three times the space cost (source: Sharp, Inc. citing Association of Information Systems Professionals) based on FY2010 adjusted rate and criteria above.

\*\* These savings are calculated using the table references above and adjusted to FY2010 dollars.

\*\*\* Storage fee difference for scheduled versus unscheduled records.

### **3. Explain how your agency maintains an ongoing dialogue with interested parties to find innovative ways to use information technology for the initiative.**

Records Management has been deemed a “value” within the Department as well as a DOI Information Resource Management Strategic Plan FY 2010-FY 2015 goal. Interior’s emphasis on achieving sound records management practices has led to the identification of the Records Scheduling Initiative as a key performance measure in the new DOI IRM Strategic Plan. The Records Scheduling Initiative builds upon DOI’s records management policy as well as its Electronic Management System Initiative. An open dialogue is maintained with internal and external stakeholders with respect to the performance targets that are identified further below.

The Departmental Records Officer conducts monthly meetings with Bureau Records Officers and other interested officials to discuss the status of information technology as it relates to records scheduling and business processes. The monthly forum provides for sharing innovative ideas and conveying practices that are being implemented in both the public and private sectors. Additionally, DOI continues to collaborate with NARA officials on Government-wide strategic matters pertinent to records schedules, and participate on inter-agency workgroups with other Federal, State, and private

organizations to provide for external “information sharing” opportunities in support of the Records Scheduling Initiative.

**IRM Strategic Plan FY 2010- FY 2015  
Records Management Performance Measures & Targets**

IRM Performance Measure	Performance Target	
	Year	Target
Percent of systems identified by bureaus or offices at the beginning of the FY with a current/revised Bureau records schedule that promotes transparency of information within DOI and the Federal Government.	2010	70%
	2011	75%
	2012	80%
	2013	85%
	2014	90%
	2015	95%
Percent of DOI bureaus and offices with established goals and measures for their Records Management Programs based on the baseline review of performance gaps identified using the DOI Records Management Maturity Model (RM3)	2010	20%
	2011	40%
	2012	60%
	2013	80%
	2014	90%
	2015	100%

**4. Describe your efforts to consolidate or collaborate with other agencies to reduce the number of Federal Data Centers.**

DOI is actively working to reduce the number of data centers while continuing to provide required IT services in support of our mission. These efforts span short, medium and long-term timelines.

In the short term, DOI has already completed several data center consolidation efforts. These have included collocation of Bureau systems and servers into DOI operated facilities located in Denver, Colorado and Reston, Virginia. The Bureaus that have co-located with DOI data centers include the Office of Hearings and Appeals, the Office of Surface Mining, the Office of the Solicitor, the Bureau of Indian Affairs, the US Geological Survey, the National Park Service and the Fish and Wildlife Service. In the case of the Fish and Wildlife Service, they were able to close their Denver data center as a result of successfully consolidating operations with the DOI operated facility.

In the medium term, DOI has established the DOI Innovation and Efficiencies Team (DIET) that is tasked with identifying opportunities for cost savings from improved IT operations. Data center and server consolidation has been identified as a prime area for achieving the desired efficiencies and savings. This team will be developing

recommendations for data center and server consolidation that can be implemented in the FY2011 – FY2012 timeframe.

In the long term, the DOI Chief Information Officer has established a vision for an Integrated Computing Environment (ICE). ICE is a component of the OneDOI2012 strategic plan and will deliver a set of private cloud services for DOI Bureaus and Offices over the next five years. This initiative will rely heavily on data center consolidation, server consolidation and virtualization services to deliver on this vision.

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

Interior is committed to making every possible effort to ensure that all electronic and information technology developed, procured, maintained, or used by the Department is accessible to people with disabilities, including both employees and the general public. Furthermore, with respect to OCIO Requirements document that is used to address Bureau/Office IT performance, DOI incorporated a statement for Bureaus to address Section 508 as it pertains to records schedules. Also, see Section II, item 9.

**6. Identify external partners (e.g., Federal, State or local agencies, industry) who collaborate on the initiative.**

In addition to the response provided above for item 4, it is important to note that DOI routinely collaborates with NARA on both DOI's Electronic Records Scheduling Initiative and its Electronic Records Management Initiative. NARA staff officials attend workgroup meetings, provide guidance, and assist DOI in the creation of records management guidance. DOI participates on interagency workgroups and forums while sharing ideas with other Federal, State, and Private associations. DOI is a Supporting Partner to EPA on electronic records technology analysis and reports.

**7. Explain how the project applies capital planning and investment control procedures.**

The Records Scheduling Initiative is a component of the lifecycle investment strategy pertinent to all IT Initiatives that are managed by Interior's investment control process. There are three essential phases, Select, Control, and Evaluate that link all IT investments to the strategic goals for the Department. All initiatives are reviewed by Bureau Heads as well as the DOI's Investment Review Board (IRB) which provide recommendations and make final investment decisions. The Department's IRB assesses the items below for all investments.

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



The Records Scheduling Initiative was identified as a key initiative that can improve collaboration and transparency in managing E-Gov, cross-cutting initiatives across the enterprise to increase efficiency and enhance Mission delivery.

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

DOI is focused on expanding IRM's partnership with the mission owners to collaboratively perform the planning and analysis necessary to best enable DOI's missions. A clear outcome for accomplishing this goal is to plan and develop the most appropriate and highest priority information services and solutions. This has been accomplished through the establishment of the DOI Business Model which logically structures DOI's many business functions into distinct logical areas. In turn, investments supporting a given segment reflect the target segment architecture, or future state, and are aligned with the agency enterprise architecture. First work with mission leaders is performed to prioritize the segments in the DOI Business Model that are in need of modernization or transformation. By prioritizing the segments, DOI can focus limited resources on planning (architecting) the segments with the highest priority information services and mission needs for investment decision making and implementation success.

OMB has published detailed guidance on its *Performance Improvement Lifecycle*, which is composed of three phases: "Architect," "Invest" and "Implement". DOI's Information Technology Management Council (ITMC) fully subscribes to the Performance Improvement Lifecycle, and this is reflected in the first three goals of the IRM Strategic Plan. The Performance Improvement Lifecycle provides a means to accomplish the Administration's Federal information policies focused on improving the IT investment planning process and eliminating duplicative and poorly managed projects can achieve its desired mission outcomes and business results.

**9. Quantify the cost savings and cost avoidance achieved through implementation of new IT programs.**

Immediate cost savings are achieved by eliminating the requirement of Federal Agencies having to print out electronic records to paper. This reduction or elimination has multiple savings points, as identified below.

- The cost reduction of the paper for the printed documents
- The cost reduction of the ink for the printed documents
- The cost reduction of the storage (measured in shelf space)
- The cost reduction in searching for documents responsive to data requests
- The cost reduction in exercising disposition of records

Initial studies indicate that email storage space costs can be reduced by 50% through better electronic records management. Additional savings can be attained through

leveraging these savings and procedures with other programs. Electronic transmission of responses to data requests would reduce response time and reduce postage costs. The implementation of new IT programs results in immediate satisfaction to citizens' requests for information because they can immediately print out all responsive documents.

**10. Describe your efforts to consolidate, or collaborate with other agencies to reduce the number of Federal data centers.**

DOI is an active partner serving on the Federal Records Council (FRC). The FRC is made up of all the cabinet-level Agencies and chaired by NARA. The FRC leverages records management knowledge, ideas and projects to play an active role in developing better records management strategies. DOI also works with the FRC to develop procedures that implement NARA-endorsed records management standards, perform audits, conduct records management surveys and review records management challenges with the Federal Government.

Federal records are managed according to disposition schedules. These schedules provide guidance for off-site storage at approved storage facilities, either Federal or privately managed. Federal Government storage sites are managed by NARA and are known as Federal Records Centers. No matter the site, the reduction of paper-based records through reduced printing of records saves each agency the costs of materials, preservation and labor. Specific DOI efforts to reduce electronic records that are printed to paper include the Electronic Records Management Initiative, the Records Scheduling Initiative, and the incorporation of records management at the beginning of project development. DOI also participates in the multiple working groups associated with the Information Sharing Environment and the Controlled Unclassified Information Council to develop identification, marking, and dissemination procedures for sharing information across Agencies.

**11. Describe the telework program at your agency, including your plans to increase your employees' ability to use Web 2.0 tools to work-at-a distance.**

DOI issued a telework policy on February 18, 2005. The policy has recently been updated to stress the importance of telework when managing resources during a pandemic.

The policy enables DOI Bureaus and Offices broad discretion on determining the eligibility criteria for its employees to telework for up to 5 days per week. DOI's policy enables regular telework schedules and it addresses situational needs on an ad-hoc basis. DOI's provides Supervisors guidance on determining the cost impact on telework plus a description of job and employee characteristics that are appropriate for telework. Occupational Safety Health Administration (OSHA) standards and safety needs are also covered in the policy. The Department is planning to increase employees' ability to use Web 2.0 services. A pilot program was initiated in Q4FY2009 that allowed a small number of employees to access Facebook, Twitter and YouTube. Based upon the

successful results of this initial test, a larger group of approximately 400 users will be provided access to these same sites. Upon determination that undue impacts on network capacity and information security are not identified, the Department may make these Web 2.0 services available to all employees.