



**U.S. DEPARTMENT OF DEFENSE**

**OPEN GOVERNMENT PLAN**

*APRIL 7, 2010*

[www.defense.gov/open](http://www.defense.gov/open)



## OFFICE OF THE DEPUTY CHIEF MANAGEMENT OFFICER

9010 DEFENSE PENTAGON

WASHINGTON, DC 20301-9010

April 7, 2010

In the four months since the Office of Management and Budget issued an Open Government Directive, the Department of Defense has demonstrated its commitment to improve transparency, participation and collaboration. Improved transparency can enable the public to better understand goals and activities of the Department and facilitate analysis of data never before shared publicly. Broader participation can serve to lower barriers between the Federal Government and public citizens. Finally, greater collaboration can foster an open exchange of ideas between federal employees, public interest groups and the interagency community to maximize creation of best practices and new initiatives. Embracing Open Government at the Department of Defense will generate new ideas benefiting both the Warfighter and U.S. citizens.

The Department met all milestones contained in the Directive: the appointment of a senior level official to verify all federal spending data at the Department; the publication of high-value datasets on Data.gov; the establishment of a central Web site at [www.defense.gov/open](http://www.defense.gov/open) where information for the public can be displayed in one location and the status of the Open Government initiative can be tracked; and the documentation of the Department's strategic roadmap for increasing transparency, participation and collaboration in the form of an Open Government Plan, which follows.

The Open Government Plan was developed through active, multifaceted consultation among all Office of the Secretary of Defense Components, Defense Agencies and the Military Departments. The Department's Open Government leadership team launched a significant outreach effort and worked with a variety of stakeholders (employees, subject matter experts, the general public and interagency working groups) to formulate this plan. This document is a guide to how we will disseminate information about the Department's core mission and priorities while balancing national security and privacy concerns. This flagship initiative highlights our partnership with the Department of Veterans Affairs to share data at unprecedented levels in order to improve healthcare delivery to our service members, veterans and their families.

The Department looks forward to strengthening the pillars of Open Government in the months and years to come.

A handwritten signature in black ink, appearing to read "Elizabeth A. McGrath", is positioned above the printed name.

Elizabeth A. McGrath

Assistant Deputy Chief Management Officer

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## **BACKGROUND AND INTRODUCTION**

### **THE PRESIDENT’S GOALS OF TRANSPARENCY AND OPEN GOVERNMENT**

On January 21, 2009, shortly after assuming office, the President of the United States issued the Presidential Memorandum on Transparency and Open Government,<sup>1</sup> setting forth three basic principles for agencies of the executive branch to pursue as the normal course of business: transparency, participation and collaboration.

In the months since, he launched various initiatives promoting greater openness. Among these was Data.gov, launched in May 2009. Data.gov is a groundbreaking Web site designed as one-stop shopping for members of the public, press and academia seeking access to valuable and interesting government-created datasets, regardless of originating agency. Since May, agencies across the government have added datasets spanning geographic, scientific, demographic and a myriad of other realms.

On December 8, 2009, the Office of Management and Budget issued an Open Government Directive,<sup>2</sup> detailing specific timelines, goals and requirements for each executive branch agency to meet in support of the President’s goals. Among these were requirements to create an Open Government Web site, continue contributing to Data.gov, and develop an Open Government Plan which lays out the history and future course of the agency’s work in support of the goal of a more open and transparent government.

### **DEPARTMENT OF DEFENSE INVOLVEMENT**

The Department’s work to further the President’s vision began in early 2009 as Data.gov was developed and launched and has grown continually since, in parallel to efforts of the Federal Government as a whole. What began as an informal partnership between the Office of the Assistant Secretary of Defense (Public Affairs) and Office of the Assistant Secretary of Defense (Networks & Information Integration)/DoD Chief Information Officer has led, upon issuance of the Open Government Directive, to a more formal governance structure under the leadership of the Office of the Deputy Chief Management Officer, as designated by the Deputy Secretary of Defense. You can read a more detailed chronology in the section called “Open Government Timeline and Milestones.”

## **HOW TO CONTACT US**

THIS DOCUMENT AND MUCH MORE  
INFORMATION IS ONLINE AT

[www.defense.gov/open](http://www.defense.gov/open)

**SUGGESTIONS AND QUESTIONS  
ABOUT OPEN GOVERNMENT?**

E-Mail us at [open@osd.mil](mailto:open@osd.mil)

**OTHER QUESTIONS?**

Go to [www.defense.gov](http://www.defense.gov) and click on  
“Contact Us.”

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<sup>1</sup> [http://www.whitehouse.gov/the\\_press\\_office/Transparency\\_and\\_Open\\_Government/](http://www.whitehouse.gov/the_press_office/Transparency_and_Open_Government/)

<sup>2</sup> <http://www.whitehouse.gov/open/documents/open-government-directive>

## OUR PRINCIPLES OF INFORMATION

The Department’s “Principles of Information” underlie our wide-ranging efforts to increase transparency and openness. The Principles<sup>3</sup> say in part that:

“It is Department of Defense policy to make available timely and accurate information so that the public, the Congress, and the news media may assess and understand the facts about national security and defense strategy. Requests for information from organizations and private citizens shall be answered quickly...Information shall be made fully and readily available, consistent with statutory requirements, unless its release is precluded by national security constraints or valid statutory mandates or exceptions.”

As the Open Government Directive notes, all data releases must be “subject to valid privacy, confidentiality, security, or other restrictions” under existing law and policies. The mission of the Department makes us particularly aware of the need to ensure transparency does not compromise national security or the safety of our personnel. Additionally, given the interaction we have with millions of individuals (service members past and present, civilian employees and dependents), privacy protection is also of paramount importance. As we operate under the presumption of openness, every potential release of data by the Department must continue to be scrutinized and evaluated for its potential to – however unintentionally – jeopardize safety, security or privacy standards.

## A TEAM APPROACH

In the spirit of the Open Government Directive, this document represents a collaborative effort of individuals and organizations within and outside of the Department of Defense. Under the coordination of the Office of the Deputy Chief Management Officer, more than a dozen entities within the Department assisted in the brainstorming, writing and editing process. Additionally, numerous outside voices (e.g., experts, other government agencies and outside groups) contributed both formally and informally to this plan. For a more complete list, please see “Contributors to this Plan.”

As a team, we face the challenge of implementing this plan across an agency of immense scope. We have operations across the globe, including three Military Departments, 10 Combatant Commands, 18 Defense Agencies and 10 Field Activities. We have over three million employees (uniformed and civilian). Crafting and implementing policies that will be effective throughout this complex and diverse Department will require our ongoing attention and regular adjustments.

## ENCOURAGING INNOVATION

As we look ahead to increasing openness and transparency at the Department, we will continue to build upon our rich history of expanding the frontiers of technology. The satellite-based Global Positioning System (GPS), originally developed to enable accurate navigation for the military, has successfully been applied to a variety of civilian uses not contemplated when it was first launched. With devices now widely available that can calculate driving directions and even measure the distance between two points on a golf course, GPS is an example of how industry can leverage the Department’s investments in ways that alter the world as we know it.

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<sup>3</sup> <http://www.defense.gov/admin/prininfo.html>

Over 40 years ago, the precursor to today's Internet was developed at what is now known as the Defense Advanced Research Projects Agency (DARPA). In December 2009, we marked the anniversary of the occasion with a competition designed to explore how broad-scope problems can be tackled using social networking tools. In a remarkable demonstration of the Internet's evolution and capability to foster collaboration, a team from the Massachusetts Institute of Technology won a \$40,000 cash prize by successfully locating ten large, red balloons less than nine hours after they were launched at undisclosed locations across the United States.

Utilizing the Department's infrastructure and resources to their fullest potential will be central in delivering on our commitment to Open Government. We have included detailed descriptions of some of our current efforts to encourage innovation in the section entitled "Paths Toward Innovation" on page 28.

#### THE ROLE OF THE PUBLIC

As further detailed in later sections of this plan, we solicited and seriously considered the input of the public at large and particularly of the open government community. Through the public participation tool on [www.defense.gov/open](http://www.defense.gov/open), over 90 ideas were suggested.

#### A LIVING DOCUMENT

This plan is by its nature unfinished and is intended as a starting point and baseline, not a restrictive framework. As we – and our colleagues at other agencies and in the public – move forward with implementing the Open Government Directive, new ideas will be generated, pitfalls discovered, challenges overcome and technologies embraced. We intend to continue dialogue on the best way forward, and adjust our actions and plans accordingly.

## **OPEN GOVERNMENT AT THE DEPARTMENT OF DEFENSE**

### **PARTICIPATION: OUR APPROACH TO PUBLIC ENGAGEMENT**

#### **PUBLIC ROLE IN OPEN GOVERNMENT ACTIVITIES**

You, the public, had a direct voice in the creation of this Open Government Plan, a clear sign of the increasing importance of public engagement and community relations programs at the Department of Defense. We encouraged public interaction on the Department's homepage ([www.defense.gov](http://www.defense.gov)) and made it the central feature of our Open Government homepage. We also promoted our activities using the Department's presence on Facebook and Twitter.

To solicit public input and suggestions for this plan, the Department launched its Open Government Web site ([www.defense.gov/open](http://www.defense.gov/open)) in early February, including a platform for the public to suggest ideas, comment and vote on each other's ideas. As of April 7th, members of the public made 92 suggestions, over 100 comments on others' suggestions and voted over 600 times for or against ideas. The Department is closely reviewing ideas posted to the site, and is committed to carrying out several of the most popular suggestions. Specifically:

*Web Site Directory.* One user suggested an improved directory of the Department's Web sites allowing visitors to Defense.gov to easily find content. As part of an upcoming revision to the Defense.gov homepage, we will be working to make the vast amounts of content more easily navigable by visitors not familiar with the complex organizational structure of the Department.

*Better Contract Data.* Another user suggested "a regularly updated dataset with contract information available for download," as an improvement on existing, regularly updated contract information posted on the Department's Web site. While massive amounts of this type of information are available in various places on the Internet, we will work to create easier access to easy-to-digest, machine-readable, and regularly-updated contract and spending data on our Web site.

*Casualty Data.* Currently the Department routinely releases information about each military casualty in support of Operation Iraqi Freedom and Operation Enduring Freedom (name, rank, service, hometown, unit, etc.). However, currently there is not a database or spreadsheet consolidating detailed casualty information in one place, making it unnecessarily complicated to examine and analyze the dataset as a whole. In response to public suggestions and interest, we will provide the data in a more accessible format in the near future.

#### **CURRENT OPPORTUNITIES TO ENGAGE**

There are many existing programs and Internet presences you can use to learn more about the Department of Defense, its leadership and operation, and to connect with service members.

For example, [www.defense.gov/news](http://www.defense.gov/news) has a wide range of regularly-updated news items, and <http://www.pentagonchannel.mil/> has video of events with the Department's top leadership. We also sponsor conferences for civilian public opinion leaders to learn more about the Department, conduct tours of the Pentagon and offer direct exposure to service members and Department equipment with flyovers, musical performances and displays all across the country.

#### **LOOKING AHEAD**

We are increasingly using the Internet to make it easier to learn about the Department. Our new social media policy provides for increased use of tools like Twitter, Facebook and more. In the near



future, we will also have a centralized Web-based system you can use to request flyovers, bands and other military support for community events. We will also continue to solicit and actively consider your ideas for openness and transparency at [www.defense.gov/open](http://www.defense.gov/open).

## **TRANSPARENCY: PROVIDING DIRECT ACCESS TO DATA AND INFORMATION**

While the Open Government Directive puts new focus on our efforts to be transparent and accountable to taxpayers and the public, we already have many existing processes and programs to offer the public ways to access information about the Department's operations. In this section, you can find a brief overview of key resources, with considerably more detail available in the section entitled "In Depth: Transparency" on page 17.

### FREEDOM OF INFORMATION ACT (FOIA) REQUESTS

FOIA is at the core of government transparency. Last year alone, the Department's FOIA organizations received over 68,000 requests for information from the public for records on topics ranging from spending to manpower, correspondence to reports, travel files and wartime activities. The Department also continued to reduce long-standing backlogs, and post commonly requested documents, including copies of contracting materials. For more details, see their Web sites ([www.defense.gov/pubs/foi/](http://www.defense.gov/pubs/foi/) and <http://www.defense.gov/pubs/foi/dfoipo/>), or the section entitled "FOIA Requests" on page 17 in this document.

### DATA.GOV

The Department has been a participant in the Data.gov program since it was launched in the spring of 2009, and is ramping up efforts. To date, we have released information about the Federal Voting Assistance Program for military and civilians overseas, as well as demographic data about service members and detailed logs about FOIA requests. We are in the midst of creating a formal, ongoing process for reviewing and posting datasets. Organizations throughout the Department will seek out datasets and data access tools currently available to the public and in many cases actually posted on public Web sites, but may be difficult to locate.

Where possible, we will provide data in multiple formats, including raw files users can analyze themselves. We will be working to catalog many such data sources and integrate them into the Data.gov posting process, creating one-stop shopping for the public. During this process, we are carefully considering those datasets that have been a topic of interest in the past or seem most likely to be of interest and value to the public, the media, academics, the research and development community and open government advocates. We will also be soliciting suggestions from our own internal community, which have more detailed knowledge of possible datasets than any individual or organization.

You can read a more detailed explanation of processes we are setting up within the Department under "Our Plan for Data.gov" on page 9.

### TRACKING SPENDING: RECOVERY.GOV AND USASPENDING.GOV

Given the size of our budget (\$680 billion in FY 2010), we know it is especially important to be able to show where and how we are spending taxpayer dollars. We provide detailed information (amounts, dates, vendor names and more) about contracts, grants and other spending to the public through USASpending.gov, and in the future we will include even more data such as subcontractor information.

For spending funded by the American Recovery and Reinvestment Act of 2009 (ARRA) (over \$7 billion related to our Department), you can look at detailed reports and weekly updates at [www.defense.gov/recovery](http://www.defense.gov/recovery).

If you're interested in more detail about exactly what information is available now and is coming in the future, check out "Recovery.gov" and "USASpending.gov" on pages 22 and 23, respectively.

#### INFORMATION TECHNOLOGY (IT) DASHBOARD

You can view progress and status of over 60 major information technology investments underway at the Department of Defense by visiting the IT Dashboard at <http://it.usaspending.gov/?q=content/investment&buscid=3548>. The Dashboard shows you the cost of each project and how it is progressing. For more on this program, read the "Information Technology (IT) Dashboard" section on page 24.

#### E-RULEMAKING

By visiting [www.regulations.gov](http://www.regulations.gov), you can see and comment on rules the Department of Defense and other Federal Agencies are proposing which may affect the public. For example, recent proposed rules from our Department include one providing details on changes in the TRICARE healthcare program and another describing how we will process applications under the Homeowners Assistance Program. You can read more about our involvement in this public process in the section entitled "eRulemaking" on page 21.

#### DECLASSIFICATION OF DEPARTMENT INFORMATION

In December 2009, President Obama issued an Executive Order to increase the speed and efficiency of declassifying over 400 million pages of historical records across the government, many of which involve the Department of Defense and are of interest to academia, the media and the public at large. For example, in late 2009, the National Archives released 63 cubic feet (about 60 boxes) of previously classified records of the U.S. Joint Chiefs of Staff from 1959 through 1965, as well as various Navy and Army records. You can read more about our work to make historical records more easily available under "Declassification of Department Information" on page 20.

#### RECORDS MANAGEMENT

We can make information available to the public – both now and in the future – only if the material is organized and managed effectively. To that end, the Department issued policy guidance and works with the National Archives and Records Administration (NARA) to ensure valuable records are carefully maintained for future use. For more, see "Records Management" on page 17.

#### CONGRESSIONAL REQUESTS FOR INFORMATION

The Office of the Assistant Secretary of Defense for Legislative Affairs is responsible for coordinating all requests for information from Congress including senior officials testifying at hearings. For more details about how we provide information to Congress (and indirectly to the public), you can see their Web site at <http://la.defense.gov/>, or see "Congressional Requests for Information" on page 20.

## **COLLABORATION: TOOLS TO ENHANCE TEAMWORK**

The Department has been a long-time user of collaboration tools, ranging from instant messaging to document sharing and wikis. These tools are used within the Department across the globe and by partners inside and outside of government to promote effectiveness, transparency and innovation. We are also undertaking a long-term plan to migrate to a standard platform for collaboration for maximizing efficiency and utility. The Wikified Army Field Guide is among the most interesting and innovative initiatives. It is giving battle-tested military personnel at every level direct input into the revision of manuals for Army tactics, techniques and procedures, creating a more effective end product for our soldiers.

Also noteworthy are collaboration platforms used to support rescue and relief efforts, for example after the Haiti earthquake in January 2010. We helped coordinate work both inside and outside the Department using the All Partners Access Network and Transnational Information Sharing Cooperation (TIISC) tool, two innovative solutions developed within the Department for use in specifically these sorts of situations. You can find more examples of our collaboration initiatives in the section entitled “In Depth: Collaboration” on page 26.

## **FLAGSHIP INITIATIVE**

On April 9, 2009, President Obama announced a groundbreaking vision for the future of electronic health data sharing: the Virtual Lifetime Electronic Record (VLER). VLER “will ultimately contain administrative and medical information from the day an individual enters military service, throughout their military career and after they leave the military.” VLER is a strategic objective for both the Department of Defense and the Department of Veterans Affairs (VA), and we have chosen to highlight it as our Open Government flagship initiative for collaboration. This standardized and secure exchange of information will allow for unprecedented, seamless delivery of both healthcare and benefits for our nation’s service members and veterans by the two largest Departments in the United States government.

About a quarter of the nation's population is potentially eligible for VA benefits and services because they are veterans, family members, or survivors of veterans. VLER is based on open national standards, and uses the framework of the Nationwide Health Information Network (NHIN) developed under the leadership of the Department of Health and Human Services (HHS). VLER will allow for the safe and secure sharing of information not only between the Department of Defense and VA, but between government and the private sector, where more than 50 percent of service members and veterans receive their care.

The goal of our flagship initiative is to provide seamless access to electronic records for millions of service members and veterans. The Department of Defense and VA are working with HHS and other federal and private sector partners to create an open-architecture, standards-based capability to bring health and benefits delivery into the 21st century.

## **IN DEPTH: OUR PLAN**

In the following pages, you can read in much greater detail about many of the programs and initiatives we previously covered, as well as how we wrote this plan. You can find links to more Web sites you may find helpful and interesting, as well as explanations of exactly how we are organizing and communicating Open Government across the entire Department.

## **CONTRIBUTORS TO THIS PLAN**

In the spirit of the Open Government Directive, this document represents a collaborative effort of individuals and organizations within and outside of the Department of Defense. In the Department, the Office of the Deputy Chief Management Officer was designated as overall coordinator for Open Government efforts and oversaw drafting of the plan. The Offices of the Assistant Secretary of Defense (Public Affairs) (OASD(PA)) and the Assistant Secretary of Defense (Networks & Information Integration)/DoD Chief Information Officer (OASD(NII))/DoD CIO continued their substantial roles in our Open Government efforts, leading the work on many sections of this document.

Other Department of Defense organizations contributing to both the document and underlying initiative include the Office of the Assistant Secretary of Defense (Legislative Affairs); the Office of the Undersecretary of Defense (Intelligence); the Office of the Undersecretary of Defense (Comptroller); and the Office of the Director of Administration and Management. Various other Components of the Office of the Secretary of Defense and the Military Departments are also involved in the Department's overall efforts on this front, contributing their resources and subject matter expertise.

Leaders inside and outside the Department were also a critical resource in developing this plan, serving as sounding boards for challenges, sources for specific ideas and as inspiration to think creatively. Recent months have seen workshops, conferences, interagency meetings and online discussions about Open Government, bringing together a diverse community of interest. At senior and junior levels, federal employees, policymakers, Open Government advocates and technology experts brainstormed on the course forward, benefiting from each others' unique perspectives, experiences and skill sets. The leadership and staff of the Executive Office of the President's Office of Science and Technology and Office of Management and Budget, as well as the staff at the General Services Administration, were invaluable in charting the course ahead and providing some of the necessary infrastructure in getting underway.

## **OPEN GOVERNMENT TIMELINE AND MILESTONES**

In December 2009, upon issuance of the Open Government Directive, the Deputy Secretary of Defense designated the Office of the Deputy Chief Management Officer as the coordinating office for the Department's implementation of Open Government efforts. Staff of that office, OASD(PA), OASD(NII)/DoD CIO and others worked to meet the Directive's aggressive deadlines to add high-value datasets to Data.gov by January 22, 2010, launch an Open Government Web site ([www.defense.gov/open](http://www.defense.gov/open)) by February 6, 2010, solicit ideas from the public and begin building a governance structure for ongoing efforts.

We also designated Mr. Michael J. McCord (Principal Deputy Under Secretary of Defense (Comptroller)) as our high-level senior official accountable for the quality and objectivity of, and internal controls over, federal spending data disseminated by the Department to the public.

## OUR PLAN FOR DATA.GOV

The Department of Defense has been committed to supporting the Open Government Initiative from its inception, and is strongly participating in a wide range of new federal initiatives promoting transparency and accountability. The Department was one of the early participants in the Data.gov program in the spring of 2009, and we have since posted 194 tools<sup>4</sup> and 10 raw datasets.<sup>5</sup> We have long had many public oriented Web sites at the enterprise level such as Defense.gov, as well as those down through the chain of command to installation, squadron, battalion and individual ship levels.

A foundational principle associated with our net-centric information sharing vision is to consider information as a strategic asset, essential in making data visible, accessible and understandable in a secure way across the Department and with mission partners. Very early in the Data.gov process, the Department recognized key internal partnerships were required to support the process of populating datasets and tools. The Assistant Secretary of Defense for Public Affairs (ASD (PA)) and the DoD CIO joined together to help develop data identification, release and submission processes. These two offices have been active participants in the federal Data.gov Working Group and several Data.gov related interagency working groups.

However, data stewardship and responsibility is distributed throughout the Department. We recognize the need to engage senior leadership in supporting this (as well as all of the other) Open Government initiatives.) Under the leadership of the Office of the Deputy Chief Management Officer, the Department is in the process of establishing an internal working group with representatives from across various Components to more fully and effectively support its future participation in Data.gov specifically, and Open Government in general. This working group will be the conduit to ensuring candidate data/tool suggestions (either internally or externally generated) are evaluated, and action is taken as appropriate. Another key function of this working group is to identify data (or tools) that Department organizations already have publicly released which can and should be linked into Data.gov for greater public visibility.

Populating Data.gov will be an ongoing requirement. Our objective is to institutionalize and insert the population of Data.Gov into existing business processes to the greatest extent feasible. We will enable this at the lowest possible levels, while still addressing security, privacy, information quality and resource requirements. Ensuring national security and privacy concerns are adequately addressed, particularly the risks as a result of data aggregation, is a major challenge which must be successfully addressed at the federal level as well as internally within the Department.

## GOALS AND TARGET AUDIENCES

While it is impossible to know precisely what users will find most interesting and helpful, there are several groups in the Data.gov audience we are specifically considering as we move forward:

*General Public.* The general public of American citizens and taxpayers are the fundamental core intended audience for our Data.gov contributions and Open Government efforts as a whole. While soliciting input and requests directly from citizens, we also plan to proactively release datasets on

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<sup>4</sup> Data.gov features a tool catalog to provide the public with simple, application-driven access to Federal data with hyperlinks. This catalog features widgets, data mining and extraction tools, applications and other services.

<sup>5</sup> Data.gov features a catalog with the ability to instantly view or download platform-independent, machine readable data (e.g., XML, CSV, KMZ/KML, or shape file formats), as well as a link to a metadata page specific to the respective dataset. The metadata pages have additional links to authoritative source information from the sponsoring agency's website including any pertinent agency technical documentation regarding the dataset.

topics of major interest in the news and to the public. These are the types of datasets we would also highlight on our Open Government Web site to make them even more readily available. Additionally, we have a range of information publicly available on Web sites in a variety of formats which can be leveraged by Data.gov. For example, the United States Army Corps of Engineers (<http://www.iwr.usace.army.mil/>) and the Military Health Program ([http://www.health.mil/Education\\_And\\_Training.aspx](http://www.health.mil/Education_And_Training.aspx)) both maintain public Web sites with significant amounts of information.

*Media.* In terms of their ability to analyze and utilize complex data, the media audience often represents a middle point between a casual citizen user and scientific or technical experts with specific and advanced interests. The media is often more interested in detailed versions or analyses of the same high-profile data popular with the general public.

*Scientific, Academic and Business Communities.* Given the vast Defense infrastructure and budgetary resources devoted to technical, scientific and medical research, it is likely non-Department of Defense entities may have interest in and find new value in access to some of the data underlying these efforts. For example, access to detailed (anonymized) medical study data could be of benefit to medical and pharmaceutical researchers and clean energy work undertaken in the military could help stimulate new ideas in the commercial sector. These potential users also are likely to have the capability to utilize large and complex datasets with more nuances than users without the same level of subject expertise.

*Open Government Groups.* In addition to their inherent interest in any data shedding light on the way government operates and makes decisions, this community is often particularly interested in information related to agency business and spending practices. This could range from both the “core” functions of the Department such as weapons acquisition budgets to funds used for staff travel and office supplies. Their focus on improving efficiencies and rooting out waste may be greatly informed by access to better information about the way money is spent at the Department of Defense, which may in turn help the Department in its efforts to be more cost-effective and budget-conscious in an era of scarce resources.

*Other Department of Defense Users.* With employees, service members and contractors in thousands of locations across the globe and in complex organizations, users within the Department may find data of value to them from other parts of the agency which they were not aware of previously. Any developments of that sort may lead to greater collaboration between the Department’s organizations and make the Department more productive and efficient.

#### INVENTORY OF HIGH-VALUE INFORMATION PROCESS

Candidate datasets and tools from across the Department must be identified for inclusion in Data.gov. Many suggestions should be internally generated (i.e., by data stewards from across the Department) by identifying what information/tools are already publicly released (in some format), or by reviewing FOIA released information for appropriateness for posting. However, we must also be able to address externally-generated data suggestions (e.g., from the public.) The Office of the Assistant Secretary of Defense (Public Affairs) will manage this process once it is established.

In all cases, a variety of data formats will be sought, with the goal of making as much information as possible available in as many ways as possible:

*Raw Data.* When possible, we will provide the underlying raw dataset with documentation required to understand its layout and make use of it.

*Existing Online Tools.* There are many existing online “tools” which allow users to build sophisticated queries online.<sup>6</sup> These will be submitted to, and catalogued for Data.gov, even if it is impractical to publish the underlying dataset in raw form. In many instances, such tools will make data more accessible to the average user.

*Major Sources of Statistical Reports.* In other cases, Department organizations routinely post numerous tables of data on their Web sites in Adobe Acrobat format, or other non-raw formats. These often take the form of statistical abstracts or annual compendiums presenting important data from many different angles. As with online tools, these will be linked to Data.gov as a resource, regardless of whether it is practical to also provide the underlying raw data.<sup>7</sup>

## REVIEW PROCESS

Generally, each major organization of the Department will be responsible for review and clearance of candidate datasets. To the extent possible, each Component will leverage their existing security and public affairs review processes while the Office of the Assistant Secretary of Defense for Public Affairs will be responsible for ensuring appropriate policies and procedures are followed prior to posting a dataset to Data.gov.

Key considerations include ensuring data is authoritative and of high quality, that there are no national security or privacy concerns/implications (including explicit review of risk from aggregation with other existing public data), and whether it is appropriate for public release. While we have existing processes in several of these areas, a key challenge in proceeding is developing and implementing a strategy of how to confidently address the risk of data aggregation in the data vetting/approval process.

Approval decisions should be made at the lowest possible level by authorized and trained personnel; approval decisions escalated to senior levels should be by exception, where they can be resolved at periodic sessions by leadership from relevant organizations.

A special working group will be formed to recommend how the Department should address data aggregation risks before data is made publicly available. This working group will include, at a minimum, senior representatives from: the Offices of the Under Secretary of Defense (Intelligence); Office of the General Counsel of the Department of Defense, Director of Administration and Management; DoD CIO, Deputy Chief Management Officer, Assistant Secretary of Defense (Public Affairs); and the Departments of the Army, Navy and Air Force.

## POSTING PROCESS

A final step for any dataset is the technical process for formatting data appropriately, populating metadata and submitting the dataset and metadata for actual publication on Data.gov. Similar to the review process, we expect data stewards themselves – those who have the most direct knowledge of the material – will be key participants in this stage. Technical support and guidance will be provided by DoD CIO.

Data stewards are responsible for ensuring:

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<sup>6</sup> See, for example, the Air Force Personnel Center (AFPC)’s IDEAS (Interactive Demographic Analysis System) tool at <http://www.afpc.randolph.af.mil/demographics/>

<sup>7</sup> See, for example, the Navigation Data Center maintained by the US Army Corp of Engineers at <http://www.ndc.iwr.usace.army.mil/index.htm>

- Data is decomposed into Data.gov compatible formats
- Metadata is refined and fully exposed
- Data dictionaries are easily understandable
- All data meets Department Information Quality Standards
- Currency of all datasets is maintained
- Data is hosted

The DoD CIO will support this by:

- Providing training and oversight of Departmental data stewards (owners)
- Developing and maintaining internal Department of Defense data submission process

#### NEXT STEPS AND MILESTONES

Our long term objective is to institutionalize Data.gov population as part of existing/normal business processes by leveraging and building upon existing policy and processes, and enabling execution and authority at the lowest possible level for efficiency.

Critical next steps in accomplishing our objectives are:

- Assigning Component roles and responsibilities in authoritative memoranda and other issuances, and
- Building and formalizing processes and tools to accomplish activities previously described (especially those addressing data aggregation risks).

*Working Group.* Each major organization within the Department will be tasked with assigning a senior official to participate in a working group under the direction of the Office of the Deputy Chief Management Officer.

For their respective organization, that official will serve as focal point for recommended datasets, and for the review and clearance process within their part of the Department.

In addition, as a group, officials will work on:

- Developing a plan capitalizing on data already used in “tools” that exist on the Department’s public Web sites
- Identifying high value data that has not been released in any form
- Determining a priority release protocol based on value to the public and availability
- Determine the process to be followed in response to public comments and/or recommendations

*Initial Planned Milestones.* The Department is committed to improving transparency through the use of Data.gov and the publication of content on our own Open Government Web site. In the near term, we plan to track our progress against the following milestones:

- |  |              |
|--|--------------|
| • Convene Working Group                                | May 1, 2010  |
| • Launch internal Working Group collaboration Web site | May 1, 2010  |
| • Promulgate Data.gov submission process               | July 1, 2010 |



- Identify first set of additional high value datasets July 1, 2010
- Identify first set of new, previously unpublished datasets August 1, 2010
- Publish the next revision of our Open Government Plan October 1, 2010

#### MEASURING SUCCESS

We will monitor several metrics as indicators of our success in implementing Open Government throughout the Department. Though we expect to identify more sophisticated metrics over time, initially these measurements will include:

- Total number of Open Government suggestions received from external stakeholders
- Total number of Open Government suggestions received from internal stakeholders
- Total number of datasets/tools identified for possible posting on Data.gov
- Total number of datasets/tools successfully posted on Data.gov

## **IN DEPTH: PARTICIPATION**

### **PAST AND PRESENT**

Largely under the auspices of the Assistant Secretary of Defense (Public Affairs) and public affairs organizations of the Military Services, the Department provides substantial opportunities for the public to learn about, and interact with, Departmental operations, leadership and personnel.

*Daily Online News Updates.* Press advisories, releases, transcripts, announcements of upcoming key events and daily overviews are regularly updated at <http://www.defense.gov/news/news.aspx>.

*Online Video.* Video of briefings, speeches, interviews and presentations by the Department's senior leadership are routinely made available and archived on the Pentagon Channel's Web site at <http://www.pentagonchannel.mil/>.

*Senior Leadership Travel.* Travel by Secretary Gates and other senior leaders is regularly highlighted at <http://www.defense.gov/home/features/travels/>.

*Community Relations Programs.* The Community Relations Web site at <http://www.ourmilitary.mil/> provides resources for connecting with troops.

*Capitol Hill Hearings.* The Office of the Assistant Secretary of Defense (Legislative Affairs) maintains a public calendar of Department officials testifying on Capitol Hill at <http://la.defense.gov/>.

*Joint Civilian Orientation Conference.* The Joint Civilian Orientation Conference (JCOC) (<http://jcoc.dod.mil/>) is a program sponsored by the Secretary of Defense for civilian public opinion leaders interested in expanding their knowledge of military and national defense issues. JCOC is the oldest existing Pentagon outreach program, having been held more than 76 times since 1948.

*Department Publications and Policies.* At [http://www.dtic.mil/whs/directives/whats\\_new.html](http://www.dtic.mil/whs/directives/whats_new.html), the public can track new Department issuances (directives, instructions and similar materials) explaining internal policies and mechanisms of the Department.

*Ceremonial and Patriotic Events.* At well over 10,000 events a year, military color guards, musical units, aviation units and other organizations provide public performances across the nation, including patriotic openers to public events, flyovers, concerts and static displays of military hardware.

*Tours of the Pentagon and Beyond.* The Pentagon Tours program annually brings over 100,000 visitors to the Department's headquarters. Various commands, installations and ships also hold programs allowing the public to more closely connect with the Department and its personnel.

*Public Queries.* The Office of the Secretary of Defense's Public Communications office annually responds to over 30,000 comments and requests for information from the general public.

### **IN THE FUTURE**

The Department continues to enhance its community engagement efforts, particularly by utilizing Internet-based technologies.

### **DEFENSE OUTREACH REQUEST SYSTEM**

By late 2010, a new Department-wide Web-based system will allow members of the public to request aviation (e.g., flyovers) and musical support for public events and track the status of their requests. Currently requests must be submitted to each Military Service individually.

## SOCIAL MEDIA PRESENCE

The Department will continue to expand and improve its online presence, providing a wealth of information about the operations of the Department and its personnel. New policy signed in late February of this year provides for increased use of social media tools like Facebook and Twitter by individual military personnel, offices, commands and other organizations across the Department and the Globe. These initiatives, as they continue to evolve and develop, will allow growing interaction between the military, their families and the public at large, providing increased visibility of the functioning of the Department.

### *Communication Within and Across DoD (Enterprise 2.0)*

- The U.S. European Command Commander uses social networking services to support and shape strategic communications about national and theater objectives.
- The 10th Mountain Division's "Mountain Sound-Off" blog directly solicits feedback and ideas about Army life from the Ft. Drum community.
- Joint Task Force - North, Open Source Intelligence Section uses social networking services to collect information for their Daily Open Source Report for distribution to Non-Classified Internet Protocol Router Network consumers.
- The Defense Information Systems Agency conducted a Drupal implementation social networking pilot called DEFStar to gauge interest and usage of collaboration tools across the Department.

### *Communication With Other Government Agencies and Non-Government Organizations*

- The U.S. Northern Command J623 is using iGoogle, Twitter, and Facebook to develop a test platform to serve as a Common Operational Picture. The Global Command and Control System is experimenting with this as an inexpensive option to work with for remote personnel and state, local and tribal government partners who cannot access the Non-Classified Internet Protocol Router Network to respond to emergencies and incidents.
- Navy's Bureau of Medicine and Surgery uses collaboration tools to meet information sharing requirements with civilian hospitals, insurance companies, medical researchers and the Department of Veterans Affairs.
- Cross-Combatant Command collaboration with state/local/non-governmental organizations during stabilization and reconstruction missions, connecting persons in emergency or post-disaster situations and public diplomacy efforts.
- National Defense University's Sustainable Technologies, Accelerated Research - Transportable Infrastructures for Development and Emergency Support project uses social networking sites to more efficiently coordinate and rapidly deploy Department of Defense, government agencies, non-governmental organizations and other stakeholders to humanitarian assistance disaster relief efforts, e.g., Hurricane Katrina.

### *Communication With the Public*

- DoD CIO utilizes the Wordpress blogging platform to engage citizens and solicit input for the Internet-based Capabilities Directive-Type Memorandum.

- The Office of the Secretary of Defense (Public Affairs) connects bloggers with Department leadership through the Bloggers Roundtable program in order to reach niche audiences.
- The Navy Seals maintain active dialogue on their Facebook page to engage directly with fans and potential recruits through notes and polls.
- The North American Aerospace Defense – United States Northern Command Headquarters Public Affairs transfers information from the Non-Classified Internet Protocol Router Network to various social networking sites (i.e., Facebook, LinkedIn, Twitter, etc.) to provide general public information and education on N-NC issues and activities.
- Northern Command Public Affairs uses social networking sites, including Facebook, LinkedIn, and Twitter, as two-way communication channels to inform, educate and discuss key Department activities and incidents with the public, and is preparing to use for future cross-agency crisis-response.
- Army Wounded Warriors Program uses social networking sites to proactively reach out to medically-retired soldiers as well as their family members, service providers, and community groups who often have limited military experience.

#### ONGOING USE OF ONLINE SUGGESTION SYSTEM

Building on the use of the IdeaScale tool, the Department will continue using this type of technology to solicit and consider suggestions from the public on issues of openness and transparency, as well as for discussion of other major topics of public interest as they emerge.

## **IN DEPTH: TRANSPARENCY**

### **RECORDS MANAGEMENT**

The Department publishes and maintains a policy directive, Department of Defense Directive 5015.02,<sup>8</sup> which provides overarching records management guidance for all Department Components.<sup>9</sup> In turn, Components have their own subordinate policy documents which locally implement the Department-wide issuance. Subordinate commands and organizations may have even more specific published guidance. Each of these is compliant with policy and regulations from the National Archives and Records Administration.

*Office of the Secretary of Defense, Defense Agencies, and Certain Field Activities:* For these organizations, additional guidance is provided by Administrative Instruction 15, available at <http://www.dtic.mil/whs/directives/corres/ins2.html>. The Web site at <http://www.dtic.mil/whs/esd/rdd/records-management.htm> provides additional materials and links.

*Combatant Commands:* In the case of Combatant Commands (which are responsible for either a geographic area (e.g., U.S. Pacific Command) or a functional area (e.g., U.S. Transportation Command), the Office of the Chairman of the Joint Chief of Staff provides records management guidance through Chairman of the Joint Chiefs of Staff Instruction 5760.01A, available at [http://www.dtic.mil/cjcs\\_directives/cdata/unlimit/5760\\_01.pdf](http://www.dtic.mil/cjcs_directives/cdata/unlimit/5760_01.pdf).

*Other Department Organizations.* Other major components with records management publications and Web sites include:

- The Department of the Army's Records Management and Declassification Activity can be found at <https://www.rmda.army.mil/>.
- The Department of the Navy's records management program can be found at <http://www.doncio.navy.mil/PolicyView.aspx?ID=707>.
- The Department of the Air Force's key documents for records management include AFI 33-321, Authentication of Air Force Records, AFI 33-322, Records Management Program, AFMAN 33-363, Management of Records, and AFI 33-364, Records Disposition, Procedures and Responsibilities. They are all available at <http://www.e-publishing.af.mil/>.

### **FOIA REQUESTS**

*Overall Structure.* The Department has a very large and decentralized FOIA Program, with operations at hundreds of FOIA offices worldwide. The Department's Chief FOIA Officer is the Director of Administration and Management in the Office of the Secretary of Defense. This senior Department official directs and oversees the Department's FOIA Program, ensuring compliance with policies and procedures governing administration of the program. The overall program Web site, including

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<sup>8</sup> Available at <http://www.dtic.mil/whs/directives/corres/pdf/501502p.pdf>

<sup>9</sup> "Components" include: the Office of the Secretary of Defense; the Military Departments (Departments of the Army, Navy (which includes the Marine Corps) and Air Force; the Office of the Chairman of the Joint Chiefs of Staff; Combatant Commands; the Office of the Inspector General of the Department of Defense; Defense Agencies, and Defense Field Activities. For more on the Department's organization, see <http://www.defense.gov/pubs/dod101/dod101.html#organized>.

governing documents, reports and assistance in making requests can be found at <http://www.dod.gov/pubs/foi/dfoipo/index.html>.

Additionally, the Defense Freedom of Information Policy Office serves as the responsible action office for providing FOIA policy guidance to the Department of Defense on behalf of the Director of Administration and Management.

*Where to Make Requests.* Reporting to the Chief FOIA Officer are 17 individual FOIA Public Liaisons, 16 of which have oversight responsibility for FOIA Requester Service Centers and offices within their respective organizations. For these entities, appeals are made to an authority within the organization:

- Department of the Army
- Department of the Navy
- Department of the Air Force
- Office of the Inspector General of the Department of Defense
- Defense Contract Audit Agency
- Defense Contract Management Agency
- Defense Commissary Agency
- Defense Finance and Accounting Service
- Defense Information Systems Agency
- Defense Intelligence Agency
- Defense Logistics Agency
- Defense Security Service
- Defense Threat Reduction Agency
- National Geospatial Intelligence Agency
- National Reconnaissance Office
- National Security Agency/Central Security Service

The Chief, Defense Freedom of Information Policy Office serves as Public Liaison for the following organizations:<sup>10</sup>

- Office of the Secretary of Defense/Joint Staff
- National Guard Bureau
- U.S. Northern Command
- U.S. Pacific Command
- U.S. Southern Command
- U.S. Central Command
- U.S. European Command
- U.S. Joint Forces Command
- U.S. Special Operations Command
- U.S. Transportation Command
- U.S. Strategic Command
- U.S. Africa Command
- Missile Defense Agency
- Defense Technical Information Center
- Department of Defense Education Activity
- Department of Defense TRICARE Management Activity

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<sup>10</sup> For these entities, the Deputy Director of Administration and Management, Office of the Secretary of Defense, serves as the appellate authority

*FOIA Requestor Centers.* Each Public Liaison previously mentioned oversees at least one FOIA Requester Service Center. These centers are the primary offices to which FOIA requesters can send their FOIA requests. Some of the aforementioned Components, such as the Defense Intelligence Agency, have only one FOIA Requester Service Center. However, others, such as the Departments of the Army, Navy and Air Force, have many FOIA Requester Service Centers around the world.

When a FOIA Requester Service Center receives a FOIA request, first it is analyzed to see if it conforms to FOIA and agency regulations, and if it does, whether it is considered a perfected request. Next, each Requester Service Center determines the staff office within the Component that would most likely have responsive documents, and tasks that specific office to find and review them. Once reviews are complete, a response is sent to the requester with any number of possible answers. The response could provide the requester the documents requested; documents requested with some information redacted; deny release of documents in their entirety; an explanation that the requested documents were not located; or an explanation that the documents were sent to another agency or Department Component for review.

*Backlog Reduction.* Overall, the Department is improving its capacity to analyze, coordinate and respond to requests in a timely manner. The Department is in the third year of a five year improvement plan which already reduced backlogs by a significant percentage and quantity. The improvement plan was in response to the Office of Information and Privacy, Department of Justice memorandum implementing Executive Order 13392. Our goals are outlined in our FOIA Backlog Reduction Plan FY 2007, and supplemented by our FOIA Backlog Reduction Plan FY 2008. The plan was dependent on funding changes commencing with the FY 2008 budget. Included in the plan is a five year budget to fully support implementation. FY 2008 amendments to the plan included significant milestones based on increased funding provided during that fiscal year. With increased funding, additional manpower slots and training initiatives, we remain substantially on schedule to consistently reduce the year to year backlog in both initial requests and appeals.

The Department's FOIA Reduction Plan, dated June 14, 2006 and available at [http://www.dod.mil/pubs/foi/FOIA\\_improvement\\_plan.pdf](http://www.dod.mil/pubs/foi/FOIA_improvement_plan.pdf), outlines the findings of a comprehensive survey of the Department's FOIA operations. Positive items included the FOIA staff being motivated and knowledgeable; the process was sound, but had inconsistent information technology support; customers found our response times were generally in line with their experience at other Federal Agencies; and, the backlog was primarily in Requester Service Centers with the most complex and sensitive cases. Negative items included inconsistent staffing levels in relation to volume, complexity and sensitivity; senior organization leaders insufficiently aware of FOIA and statutory requirements; job series and grade structure was poorly standardized; inadequate FOIA training for Action Officers and Subject Matter Experts who consult on FOIA cases; standardization of FOIA Web sites to consistently provide the public resources and access; and a lack of resources to clear the backlog.

The plan includes both long term and surge funding. Surge funding focused on a two year effort to reduce backlogs in the most affected Requester Service Centers. The surge effort is winding down in calendar year 2010. Most targeted offices reduced their backlog in a methodical, sustainable manner which resulted in process improvements and should be maintainable going forward. The Department has called for, and has so far received, steadily increasing resources to sustain gains made and continue to improve.

Responsive actions are discussed in much greater detail in the Chief FOIA Officer report. Highlights include increasing FOIA professionals (Full Time and Full Time Equivalents), increasing

emphasis on professional development through training, increasing focus on training non-FOIA reviewers and consultants during Action Officer initial training, increasing continuing training including refresher courses on the Web, increasing information technology support for case management and document management, vastly improved presence on the Web to present information already released and a serious increase in senior leaders involvement.

In accordance with the Open Government Directive, the Defense Freedom of Information Policy Office tasked Components with significant backlogs to identify required milestones. Affected Components include: the Office of the Secretary of Defense/Joint Staff, the Departments of the Army, Navy, and Air Force, U.S. Central Command, U.S. Southern Command, U.S. Special Operations Command, the Defense Information Systems Agency, the Defense Intelligence Agency, the National Geospatial-Intelligence Agency, the National Reconnaissance Office and the National Security Agency. Plans with Milestones are posted at: <http://www.dod.mil/pubs/foi/dfoipo/>.

### **CONGRESSIONAL REQUESTS FOR INFORMATION**

The Office of the Assistant Secretary of Defense for Legislative Affairs is responsible for coordinating requests for information from Congress.

The homepage can be found at <http://la.defense.gov/>, and includes a general description of how the office functions and administers legislative affairs for the Department with Congress and the White House. The office is continuing to improve the Web site within the bounds of the Department's security regulations.

Key documents describing the Department's processes for handling congressional requests for information include:

- Department of Defense Directive 5142.01, "Assistant Secretary of Defense for Legislative Affairs (ASD(LA))," available at <http://www.dtic.mil/whs/directives/corres/pdf/514201p.pdf>.
- Department of Defense Instruction 5400.04, "Provision of Information to Congress," available at <http://www.dtic.mil/whs/directives/corres/pdf/540004p.pdf>.
- Department of Defense Instruction 5545.02, "DoD Policy for Congressional Authorization and Appropriations Reporting Requirements," available at <http://www.dtic.mil/whs/directives/corres/pdf/554502p.pdf>.

### **DECLASSIFICATION OF DEPARTMENT INFORMATION**

*Background.* The Department is the single largest declassifying organization (in terms of number of pages released) in the federal government. Each one of the Department's Components<sup>11</sup> maintains its own program to meet declassification timelines for executing automatic and mandatory declassification reviews delineated in President Obama's December 2009 Executive Order 13526, "Classified National Security Information" (document available at <http://edocket.access.gpo.gov/2010/pdf/E9-31418.pdf>). The Department adopts a framework of centralized oversight with decentralized execution of declassification activities across the

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<sup>11</sup> See footnote 9 for more information of the Department's organizational structure



Department. This allows for a risk-based approach to balancing the imperatives of public transparency and protection of national security.

*National Declassification Center.* To facilitate declassification and open government, the Department strongly supports the National Declassification Center created by the President's Executive Order. The Department provides business process reengineering expertise to the National Archives and Records Administration who, along with a team of experts from across the federal government, are dedicated to the retirement and release to the public of over 400 million pages of records now held at Archive's College Park, Maryland facility. Likewise, these efforts will serve to modernize the overall declassification system. The Department will work with the National Archives and Records Administration to ensure information regarding activities of the new National Declassification Center are made available through appropriate Web-enabled environments to include Data.gov. More information on the Center can be found at <http://www.archives.gov/declassification/>.

*Department of Defense Joint Referral Center.* To kickstart our involvement with the National Declassification Center, the Department established a Joint Referral Center. This element serves as an adjunct to the National Declassification Center where Department of Defense Components may jointly pilot new business processes and technologies to streamline and standardize how we manage referrals in the declassification process.

*Summary.* Our declassification approach includes:

- Supporting structured reviews within the business process reengineering effort to standardize declassification processes and ensure they are optimized for future operations;
- Establishing a capability for prioritizing information that is informed by the National Archives and Records Administration outreach to, and interface with, the public interest declassification community and the American people;
- Establishing the Department of Defense Joint Referral Center, to ensure a central mechanism for rapid coordination across all Department Components to clear permanently valuable records slated for declassification;
- Collaborating closely with the National Archives and Records Administration on their National Declassification Center Strategic Communications campaign, including providing essential content and articles for their Web site; and
- Publishing an expedited update during calendar year 2010 to key Department regulations (DoDI 5200.01, "DoD Information Security Program and Protection of Sensitive Compartmented Information," and DoD 5200.1-R, "Information Security Program"), which implement requirements of President Obama's December 2009 Executive Order.<sup>12</sup>

## **eRULEMAKING**

*Background.* The Federal eRulemaking initiative facilitates public participation in the federal regulatory process by improving the public's ability to find, view, understand and comment on federal regulatory actions and rulemaking materials. The initiative improves access to, and quality of, the rulemaking process for individuals, businesses and other government entities while streamlining and increasing efficiency of internal agency processes. Launched in 2003, Regulations.gov is

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<sup>12</sup> The current version is available at <http://www.dtic.mil/whs/directives/corres/pdf/520001r.pdf>

eRulemaking's public-interfacing Web site providing citizens, small businesses, corporations, civic organizations and all levels of government with one-stop, Internet access to view, download and submit comments on federal rules and notices.

*Federal Docket Management System.* In September 2005, the Federal eRulemaking Program Management Office, the Department of Defense and other federal partners launched a more advanced system, the Federal Docket Management System, which vastly expanded public access to regulatory documents and the rulemaking process by providing the Department and other Federal Agencies better internal docket management and the ability to publicly post all relevant documents for any proposed regulatory action (e.g., Federal Register documents, supporting analyses and public comments). Our Department and other participating federal entities use the system for functions including: role-based access control; configurable workflow management; full text search; e-mail notifications; electronic incorporation of digitized paper documents; managing rulemaking and non-rulemaking documents and processes; distributing workload across staff; tracking docket management performance; and eventually improving document storage and management, reducing paper storage needs and lowering costs.

*Department of Defense as a Leader.* The Department of Defense was one of the charter Federal Agencies which actively funds (since 2003) and participates in development and implementation of the eRulemaking initiative and Federal Docket Management System. We implemented the Federal Docket Management System on December 30, 2005. Department personnel actively participate in the government-wide tiered governance structure (Executive Committee and Advisory Board), as well as a number of functional working groups, such as change control, budget and usability. We continue to fund the program and participate in improving the application.

*Public Access.* It is Departmental policy to make regulatory dockets electronically accessible and searchable, and to allow for electronic submission of comments using Regulations.gov, as part of our implementation of the E-Government Act of 2002. Department administrators establish regulatory dockets for posting rules and other supporting materials on the Regulations.gov Web site to enable the public to comment electronically. All public comments submitted electronically, or by mail, are posted to the appropriate regulatory docket on the site. In addition to rulemakings, the Department posts and accepts public comment on Federal Register notices, such as Information Collection Requests under the Paperwork Reduction Act and Privacy Act notices. Participation by the Department in this important initiative provides transparency and public access in developing regulations, as well as promoting a more efficient regulatory process within the Department of Defense.

## **RECOVERY.GOV**

*Background.* The Office of Management and Budget Memorandum 09-10, "Initial Implementing Guidance for the American Recovery and Reinvestment Act of 2009"<sup>13</sup> provided a framework for planning, reporting and documenting spending in a new way. It stated that "...the administration is committed to investing Recovery Act dollars with an unprecedented level of transparency and accountability so Americans know where their tax dollars are going and how they are being spent." The guidance went on to define requirements which agencies should implement to be more transparent, including establishment of a Web site for the public allowing citizens to hold the government accountable.

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<sup>13</sup> Copy available at [http://www.whitehouse.gov/omb/assets/memoranda\\_fy2009/m09-10.pdf](http://www.whitehouse.gov/omb/assets/memoranda_fy2009/m09-10.pdf)

*At the Department.* The Department has worked to meet or exceed transparency requirements of the Act. We established a site devoted exclusively to the Recovery Act at [www.defense.gov/recovery](http://www.defense.gov/recovery), and ensured it can be accessed from the Department's main Web site. Through this site, the Department is able to provide up to date information to the public on the use of the Department's Recovery Act funds. The site includes:

- Pictures of projects being performed throughout the country.
- Project plan submissions and updates, including new projects funded through cost savings from previously announced projects.
- Weekly financial activity reports detailing the amount of obligations and outlays by appropriation and an explanation of activities performed during the week.
- Communication with lobbyists.
- Contract opportunities including a link to the [www.fbo.gov](http://www.fbo.gov) Web site where individuals are able to apply for federal business opportunities, a guide to Department contracting opportunities and a listing of projects that have not yet been awarded.

In addition, the site highlights the Recovery Act-supported Homeowners Assistance Program, which was established to assist qualified service members and Department of Defense civilians who face financial loss in selling a primary residence during a move.

## **USASPENDING.GOV**

*Background.* The Federal Funding Accountability and Transparency Act of 2006 established the requirement for the Office of Management and Budget to establish a single searchable Web site for federal spending data at [USASpending.gov](http://USASpending.gov). Beginning with data from FY 2007, the site includes certain identification award data for the following types of federal awards: contracts (including purchase orders and task/delivery orders), grants and cooperative agreements (and other forms of financial assistance), subcontracts, subgrants and loans.<sup>14</sup>

*Contracting Data.* To comply with requirements for contract data reporting, the Department joined other Federal Agencies in leveraging an existing government-wide contract reporting system, the Federal Procurement Data System, using its framework to provide [USASpending.gov](http://USASpending.gov) data already being reported. This allowed the contracting community to be able to comply quickly with Act timeframes. Awarded contract actions are reported daily to the Federal Procurement Data System and then added to the publicly-available [USASpending.gov](http://USASpending.gov) after a 90-day delay to ensure security of current and imminent military operations. With a single exception, all required [USASpending.gov](http://USASpending.gov) data fields are reported via this mechanism. The "program source," which the Office of Management and Budget defines as the Treasury Account Symbol, is not reported with the exception of Recovery Act related actions, which use internal architecture designed to meet the Recovery Act's specific requirements. In the future, the Department will expand use of that

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<sup>14</sup> Additional general information and frequently asked questions about the [USASpending.gov](http://USASpending.gov) website can be found at <http://www.usaspending.gov/faq.php>

Recovery Act-focused architecture to satisfy remaining gaps in reporting of the “program source” for all contracts.<sup>15</sup>

*Grants and Cooperative Agreements.* Department data on USASpending.gov for this category is also provided through leveraging an existing system. In this case, the Department was already collecting much of the required data for submission to the Federal Assistance Award Data System. For USASpending.gov, we added on additional required data elements and were able to comply quickly with requirements for the site.

*Loans.* The Department has a relatively small amount of funds awarded through loans. To report this data to USASpending.gov, the Department’s Comptroller provides required information periodically through a new report.

*Subcontracts and Subgrants.* Subcontracts and subgrants provide the Department, and the rest of the federal government, with an additional opportunity to make available information to USASpending.gov. As with the aforementioned contracts and grants solutions, we are joining with other Federal Agencies in plans to leverage existing reporting systems to meet requirements of the USASpending.gov Web site. For subcontracts, a new module of the Electronic Subcontract Reporting System was developed to allow prime contractors to report they awarded subcontracts. For subgrants, the federal grant community is exploring the capability of leveraging the existing FederalReporting.gov Web site, used for Recovery Act reporting. Both of these efforts require federal regulations and instructions be updated to require prime contractors and awardees to accomplish required reporting before we can, in turn, submit data to USASpending.gov. As such, timeframes for implementation are not fully known at this time.

*The Future.* As additional reporting requirements are identified for USASpending.gov, the Department will work with the Office of Management and Budget to establish the most efficient mechanism to provide required data.

## **INFORMATION TECHNOLOGY (IT) DASHBOARD**

*Background.* The Department has a robust set of portfolio management processes and reviews that oversee and track its major information technology programs at multiple points throughout their life cycle to include requirements development, through acquisition/procurement; to fielding and support. The Department believes the Office of Management and Budget’s IT Dashboard is an important visibility and transparency tool which provides the Office of Management and Budget, Congress, the media and the public insight into Departmental information technology investment priorities and status of projects. Through the IT Dashboard, the Department provides detailed status, spending, budget, contracting and evaluation data for more than 60 major information technology investments. These projects include major fixed base and battlespace information technology infrastructure initiatives, as well as important business and core mission information technology (e.g., command and control software).

*The Future.* We will continue to work closely with the Office of Management and Budget and other Federal Agencies to improve the Dashboard. For example, in March 2010, for the first time, we began to automatically update and populate data via XML. By implementing changes in our internal processes, requirements and automated tools, we are establishing the capability to update and report

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<sup>15</sup> Additionally, starting in Q3FY10, the Department will begin to report Other Transactions for Prototypes to the Federal Procurement Data System, which will then also be available for USASpending.gov. “Other Transactions for Prototypes” are a different, non-contract form of transactions available specifically for certain research projects.

key information to the Office of Management and Budget as major program reviews/milestones/events occur rather than the current semi-annual data collection and reporting.

We will continue to work with the Office of Management and Budget to ensure the most appropriate, useful and accurate data is provided to the public in the Dashboard and that its utility continues to be enhanced. For example, we believe extending visibility across the entire investment life cycle (i.e., not just focusing in-depth on additional acquisition execution data), and creating in the process a common taxonomy spanning all phases, would provide important context to understanding these investments thus enabling better alignment with existing Office of Management and Budget processes for evaluating vision (architecture), planning, budgeting, execution and performance.

## **IN DEPTH: COLLABORATION**

These more formal tools and platforms are in addition to the increasing use of social media to promote open communication and idea sharing as previously discussed.

### **MAJOR COLLABORATION TOOLS**

Organizations in the Department of Defense community use a variety of collaboration platforms, including:

#### **INTELINK**

This platform provides access to authorized users across the Department and other Agencies to SharePoint collaboration tools, instant messaging and Intelipedia, a wiki-based collaboration and information sharing tool.

#### **DEFENSE CONNECT ONLINE**

This tool provides Web conferencing (to include audio, video, chat, instant messaging, screen sharing etc.) and chat capabilities for users across the Department enterprise. Defense Connect Online is composed of two commercial tools and a custom portal for access. Adobe Connect is the Web conferencing application and Jabber is the XMPP secure chat service and client.

#### **VARIOUS SERVICE AND COMMAND-CENTRIC PLATFORMS**

Each of the Military Services maintains a variety of collaboration platforms and tools specific to their particular needs and operations. These include Defense Knowledge Online, Army Knowledge Online, Navy Knowledge Online, MarineNet and Air Force Knowledge.

#### **DEFENSE COLLABORATION SERVICE**

The new Defense Collaboration Service will take the place of Defense Connect Online and many of the individual systems being used at different commands and Department organizations. Migration is already underway and projected to be complete in the next several years. The new system will provide a standard platform across the Department including chat, video and other collaboration tools. The long-term goal is to have all Departmental collaboration tools, capabilities and activities evolve to be based on common published enterprise standards; interoperable across the variety of internet protocol based communication environments.

### **THE WIKI APPROACH**

Department organizations are also adopting wiki-style approaches for a variety of subject areas. These include:

#### **DODTECHIPEDIA**

Launched in 2008 by the Under Secretary of Defense for Acquisition, Technology and Logistics, DoDTechipedia is an initiative of the Defense Technical Information Center, at the direction of the Director of Defense Research and Engineering. A Department-wide scientific and technical wiki, DoDTechipedia is designed to increase communication and collaboration among Department scientists, engineers, program managers and operational Warfighters. This tool enables Department personnel to collaborate on technological solutions, reduce costs, add capability and avoid

duplication. DoDTechipedia will aid in rapid development of technology and discovery of innovative solutions to meet critical capability needs and gaps. A version allowing collaboration with commercial partners is planned for the future.

### ACQUIPEDIA

Launched in 2008, ACQuipedia is a wiki-based collaborative tool for the defense acquisition community, operated by the Defense Acquisition University. ACQuipedia serves as an online encyclopedia of common defense acquisition topics. Each topic is identified as an article; each article contains a definition, a brief narrative providing context, and includes links to the most pertinent policy, guidance, tools, practices and training that further augment understanding and expand depth. At its essence, ACQuipedia provides the acquisition workforce with quick access to information in a succinct and digestible format. Article content aggregates the most relevant references and learning assets to narrowly focus users and quickly provide high value content.

### WIKIFIED ARMY FIELD GUIDE

Army Field Manuals (or “Army Tactics, Techniques, and Procedures”) instruct Soldiers on all aspects of Army life. As the battlefield changes rapidly, field manuals must keep pace. Under the traditional process – in which a select few were charged with drafting and updating field manuals – manuals often failed to reflect the latest knowledge of Soldiers on the ground.

Using the same free software behind Wikipedia, the Army’s “wikified” field manuals invite military personnel - from private to general - to collaboratively update the Army Tactics, Techniques and Procedures Manuals in real time. In so doing, the Army provides a secure means for battle-tested Soldiers to share their experience and advice from the field. Wikified Army Field Manuals ensure the men and women who serve our Nation have access to the best possible information when they need it.

### **COLLABORATION IN ACTION**

#### SPOTLIGHT: HAITI EARTHQUAKE RELIEF

When a devastating earthquake hit Haiti on the afternoon of January 12, 2010, governments and organizations across the globe immediately mounted an extensive rescue and relief effort. In addition to providing vital airlift and medical assistance, the Department of Defense played a key role in enabling the many different entities involved to rapidly share information and coordinate their efforts. Within a day of the earthquake, the Defense Information Systems Agency (DISA) and the US Southern Command (SOUTHCOM), which has geographic responsibility for Haiti, quickly activated collaboration platforms that had been in a test phase. This swift decision rapidly made available a robust capacity that dramatically aided relief efforts.

The Transnational Information Sharing Cooperation (TISC) tool was brought from a test status to an operational status almost immediately, and within another day, the related All Partners Access Network (APAN) were quickly opened up to all governmental and non-governmental groups involved in relief efforts. Within days over 1,700 organizations and individuals – representing various military units, non-governmental organizations and other entities – were using the system to coordinate their work.

The platform includes easy-to-use wikis, chat rooms, blogs, and calendaring, file-sharing and other tools to share information and coordinate massive undertakings like disaster relief. TISC and APAN

clearly demonstrated the power of such a versatile platform to be effectively utilized in an urgent new situation almost immediately, well before more traditional organizational and information-sharing systems can be put into place.

The system was first developed at the US Pacific Command (PACOM) as an online community in which authorized users both inside and outside the US military could share information. Lessons learned from its use in Haiti earlier this year will be used to continue to refine the system.

#### SOCIAL MEDIA POLICY DEVELOPMENT

The Office of the DoD CIO assembled a community of 100+ internal stakeholders via an Intelink-based SharePoint community implementation to participate in creation of the Internet-based Capabilities Directive-Type Memorandum released in February 2010, which "...establishes DoD policy and assigns responsibilities for responsible and effective use of Internet-based capabilities, including social networking services."<sup>16</sup>

#### NAVAL UNDERSEA WARFARE CENTER TRAINING

The Naval Undersea Warfare Center built a robust virtual campus in Second Life enabling 500 users at a time to control actual tactical hardware and software via video-network.

#### NAVY LEGAL COMMUNITY

Navy's Office of General Counsel developed "OGC Online," a collaborative forum for the Department of the Navy legal community to share information, network and provide a repository for collective knowledge.

#### **PATHS TOWARD INNOVATION**

##### DARPA TRANSFORMATIVE APPS

DARPA has a long history of being at the forefront of technological innovation, and the agency is now dedicating considerable resources towards a program called "Transformative Apps." The goal of Transformative Apps is to place the right mobile software applications ("apps") into the hands of Warfighters as they are needed. As a result of this program, a diverse array of apps of national security relevance will be realized using a new development and acquisition process, ensuring that technology reaches the Warfighter while it is still innovative and advanced.

A central military apps marketplace will be created to enable innovation to meet user needs based on a direct collaboration between a vibrant and highly competitive development community and involved communities of end-users. DARPA is seeking apps to fill a diverse set of needs, including the tactical battlefield, humanitarian missions, disaster recovery, and other mission areas. Example functionalities include command and control, reporting, mission planning, intelligence/surveillance/reconnaissance, real-time collaboration, geospatial visualization, analysis, language translation, training, and logistics tracking.

The program will address the technical, business, and operational challenges faced to make the new capabilities rapidly available for use in the field. The end goal will result in handheld devices and

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<sup>16</sup> A copy of the document is available at <http://www.dtic.mil/whs/directives/corres/pdf/DTM-09-026.pdf>



apps broadly available to the lowest military echelons, a user base comprising hundreds of thousands of individuals. For more information, visit [http://www.darpa.mil/tcto\\_solicitations.html](http://www.darpa.mil/tcto_solicitations.html).

#### DEFENSESOLUTIONS.GOV: WORKING WITH SMALL BUSINESSES

DefenseSolutions.gov is a portal through which innovative companies, entrepreneurs, and research organizations can offer potential solutions to the Department of Defense. This portal, and the team behind it, is designed to encourage companies that have never considered doing business with the Department to participate.

#### APPS FOR THE ARMY

In March, 2010, the Army launched its “Apps for the Army” contest, which gives Army personnel the opportunity to demonstrate their software development skills. “Apps for the Army” applications may tackle any aspect of Army information technology - distributed training, battle command, career management, continuing education or news and information distribution, for example. Winners will receive monetary awards from a cash pool totaling \$30,000, and the contest will itself use the Army Knowledge Online collaboration system. More information can be found at <http://armylive.dodlive.mil/index.php/2010/03/apps-for-the-army-challenge-is-here/>.

## **IN DEPTH: FLAGSHIP INITIATIVE**

### **STRATEGIC APPROACH**

The Department of Defense and the Department of Veterans Affairs have already achieved a high level of point-to-point interoperability between our health care systems, but this does not allow capture of private sector data. The Virtual Lifetime Electronic Record will solve this by providing a secure connection between the Department, Veterans Affairs and private sector providers. Sharing data electronically through the Virtual Lifetime Electronic Record approach will be achievable more quickly than developing a single system, and the solution will be viable throughout the health care community.

A joint strategy for data sharing is the most effective use of resources and avoids obsolescence as electronic health record systems continue to modernize. It will provide information needed to deliver the highest quality of care, and reduce medical errors and administrative mistakes. The Department and Veterans Affairs need access to private sector information to optimize care, improve efficiency and create a true lifetime electronic health care record for our service members and veterans.

The Departments' joint approach to the Virtual Lifetime Electronic Record is not to establish a large acquisition program, but rather to define and implement a strategy to share data across existing programs. Building a single Department of Defense/Veterans Affairs medical system would be an enormous undertaking requiring years of analysis, discussions and change management activities that would be extremely challenging. The Department and Veterans Affairs share data today much better than any two medical systems anywhere – and we are continuing to improve that sharing. To refocus resources on development of a single system would not allow us to sustain the progress we are already making.

### **COLLABORATION EFFORTS TO DATE**

Since 2001, the Department has provided Veterans Affairs with one-way historic information through the Federal Health Information Exchange when a service member separates from the Service. For each separated service member, the Department sends over a dozen categories of information, including standard ambulatory data, laboratory results, radiology reports, outpatient pharmacy data and allergy information. As of December 2009, using the Federal Health Information Exchange, the Department transmitted health data on more than five million retired or discharged service members with data dating back to 1989. Approximately 1.8 million of these individuals have presented to Veterans Affairs for care, treatment or claims determination. This number grows as health information on recently separated service members is extracted and transferred to Veterans Affairs on a monthly basis.

For shared patients being treated by both the Department and Veterans Affairs, the Departments use the jointly developed Bidirectional Health Information Exchange system implemented in 2004. Using Bidirectional Health Information Exchange, the Department and Veterans Affairs clinicians are able to access each other's health data in real-time. Access to Department discharge summaries is operational at some of the Department's largest inpatient facilities representing approximately 62 percent of total inpatient beds. With efforts beginning just prior to 2004, the Bidirectional Health Information Exchange has grown so that, as of December 2009, there are more than 3.5 million shared patients, which includes 1.7 million patients not in the Federal Health Information Exchange

repository, and over 173,300 Theater patients. Federal Health Information Exchange/Bidirectional Health Information Exchange inquiries during 1st quarter FY 2010 averaged 60,500 per week.

Since 2006, the Department and Veterans Affairs have been sharing computable outpatient pharmacy and allergy data through the interface between the Clinical Data Repository of the Armed Forces Health Longitudinal Technology Application system, Department's Electronic Health Record, and the Veterans Affairs Health Data Repository. This initiative integrates outpatient pharmacy and medication allergy data for shared patients, which is viewable by providers in both Departments. Built into this exchange is the capability for drug-to-drug and drug-to-allergy checks. As of December 31, 2009, the Departments exchanged computable outpatient pharmacy and medication allergy data on over 50,400 patients who receive healthcare from both systems.

## **GOVERNANCE**

The Department and Veterans Affairs are committed to maintaining a leadership framework to oversee and promote a successful partnership, institutionalize needed change and foster collaboration to support service members and veterans in an open and transparent manner. The Joint Executive Council institutionalizes sharing and collaboration across the Departments to ensure efficient use of services and resources for delivery of health care and other authorized benefits.

Both Departments are already working together to improve access, quality, effectiveness and efficiency of health care for service members, veterans and their families. Subject Matter Experts from both Departments engage in this collaborative work on a regular basis through the Health Executive Council and its working groups. The Health Executive Council oversees the cooperative efforts of each Department's health care organizations and supports mutually beneficial opportunities to improve business practices; ensures high quality, cost effective health care services for both the Department and Veterans Affairs beneficiaries; and facilitates opportunities to improve resource utilization.

Established by the National Defense Authorization Act for Fiscal Year 2008, the DoD/VA Interagency Program Office sits between the two Departments, with a Congressional mandate to aid in development and implementation of electronic health records that will improve the quality of care, and quality of life, extended to our Nation's service members and veterans. With more than 80 percent of the country's electronic health records shared between the two Departments, the task of the IPO is monumental. The office is an honest broker and a single point of accountability, tasked with coordinating, overseeing and participating in the Departments' efforts to share their vast amounts of medical and administrative data.

The IPO will ensure progress made on this flagship initiative is sustainable, using its unique position between the Department and Veterans Affairs to:

- Identify interdepartmental project risk and mitigation strategies
- Harmonize Department and Veterans Affairs' plans to establish a baseline agreement to achieve successful implementation
- Establish and monitor performance metrics
- Document future potential interoperability enhancements
- Verify completion of interoperability requirements
- Establish and maintain interagency collaboration sites for work teams

The IPO is assigned coordination and oversight duties for information sharing through its charter. The IPO serves a critical function by helping to communicate, collaborate and coordinate in the interagency space where the two Departments intersect.

One of the major roles of the IPO is to facilitate collaboration for interagency efforts. One way we do this is through developing and maintaining a Web-based collaboration site for internal work teams to share, plan, discuss and execute the phases of Virtual Lifetime Electronic Records.

### **PILOT EFFORT**

A Virtual Lifetime Electronic Record proof of concept prototype and production pilot has already successfully executed in San Diego, California between Veterans Affairs and a private sector provider, Kaiser Permanente, using the Nationwide Health Information Network. This implementation was a ground breaking and monumental shift toward improvement in health information exchange, not only for our Federal Government, but for our entire nation.

The Department joined the Nationwide Health Information Network family on January 30, 2010. The Department does not have shared patients with Kaiser Permanente because it is not a contract provider for DoD in the San Diego area, but we were able to demonstrate the use of the NHIN to exchange patient data. The Department and Veterans Affairs are now in the process of testing capabilities to complete implementation, and are building adaptors to communicate through the Nationwide Health Information Network with each other and private providers. The Nationwide Health Information Network provides the ability to:

- Find and retrieve healthcare information within and between health providers.
- Deliver a summarized patient record to support patient care and to support the patient's health.
- Match patients to their data without a national patient identifier.
- Exchange information securely.

The Department and Veterans Affairs use of the Nationwide Health Information Network will help drive and establish standards for health information exchange nationally. A standards-based approach allows the government to be system agnostic, avoid obsolescence, promote competition, lower costs and avoid pitfalls of a monolithic government system.

### **NEXT STEPS**

On March 8, 2010, the Departments of Defense and Veterans Affairs announced the next phase of the Virtual Lifetime Electronic Record Health Communities Program. This initiative will further expand upon the efforts in San Diego to improve care and services to our Nation's heroes by sharing health information using the Nationwide Health Information Network. In the Virginia/Tidewater area of Southeastern Virginia, the two Departments will partner with private sector providers. We selected this location as the next area to pilot due to its high concentration of veterans, military retirees, members of the National Guard and Reserve, and active duty service members and their dependents.

The Virginia/Tidewater pilot builds on the continuing success of the first pilot in San Diego with Kaiser Permanente. The program, through policy and technology, places the highest priority on patient privacy and data security. No exchange of information will occur without the appropriate

permissions of the individual patients, and access to care will not be affected by a decision not to participate.

Ultimately, it is the goal of both Departments to utilize lessons learned from the VLER pilot programs to develop an extensible and scalable pilot that can be productized and implemented nationally.

## **THE PATH FORWARD**

The Department of Defense is strongly committed to pursuing goals of the Open Government Directive and sees this plan and its current work as a starting point from which to improve and expand. As we discussed in detail throughout this document, there are a variety of ways already available for the public to learn about activities and inner-workings of the Department and its over three million uniformed and civilian personnel. In the coming months, we will continue to bring together key officials from across the Department to formalize a governance structure and create detailed procedures for an increased culture of transparency while protecting national security. We are also committed to regularly evaluating our progress and making adjustments mid-course if needed. As that process continues, we welcome comments and feedback from the public. Please visit us at [www.defense.gov/open](http://www.defense.gov/open) for an electronic copy of this document, to leave comments and for more resources related to the Open Government Directive at the Department of Defense.