U.S. Department of Energy

E-Government Act Report

Fiscal Year 2010

Table of Contents

Describe your top three E-Government IT accomplishments related to Open Government and innovation from this year.

The Department of Energy (DOE) has made steady progress in implementing the Open Government Directive and giving citizens more access to their government. In the past year, the Department has significantly expanded the amount of information available online about our programs, our funding awards, and our progress, as well as valuable data about energy production and consumption and trends within the energy industry. Our top three E-Government IT accomplishments include developing our Open Government web page to further encourage public participation, expanding the inventory of DOE potential high value data sets to be published on Data.gov, and improving our Freedom of Information Act performance. In addition, we recently inaugurated three programs designed to further Open Government and innovation objectives.

THE DOE OPEN GOVERNMENT WEB PAGE

The fundamental premise of the DOE Open Government Program is the Department actively and broadly encourages public participation. The DOE recognizes public participation as the most essential part of Open Government and has accelerated its use of a variety of web-based collaboration tools, such as the DOE Open Government Twitter account, email and blogs with comments as well as social media tools, such as Facebook and YouTube, to provide employees, the public and stakeholders with as many channels as possible to participate in discussions and provide feedback on energy-related topics.

The DOE developed its Open Government web page, www.energy.gov/open, as part of the agency's web site to serve as an informational online resource for the public, DOE employees, and stakeholders. Visitors can download the DOE Open Government Plan from this site and view additional Open Government resources, including links to key high value datasets, FOIA information, the Secretary's and the Department of Energy's Facebook pages, and the DOE YouTube Channel. The web page also hosts links to the DOE Open Government Self-Evaluation and the White House Open Government Dashboard.

EXPANDING THE DOE HIGH VALUE DATA INVENTORY

The DOE hosts a variety of high value information and datasets which are available to the public online. Its high value data inventory was developed and has been expanded upon by following a top down and manual approach versus utilizing a bottom up and automated process allowing the Department to selectively choose data that is driven by what the public wants to see.

The DOE has established a Work Group to identify and develop high value datasets containing information distinctly different from existing DOE datasets. The Work Group:

- Maintains inventories of high value datasets currently available for download;
- Encourages public use and awareness of these datasets;
- Establishes a process to identify future high value datasets;
- Develops open format standards for the publication of these datasets; and
- Establishes and publishes a timeline and milestones for the preparation and release of future datasets.

The DOE's high value datasets come principally from two organizational units: the Energy Information Administration, the independent energy statistics arm of the DOE, and the Office of Scientific and Technical Information (OSTI), the office responsible for scientific data collection and dissemination within the Office of Science. The Energy Information Administration and the Office of Science and Technical Information have made their high value datasets available through **www.Data.gov**. In addition, the DOE has provided access to BP Oil Spill data on **www.Data.gov**. While the data inventory principally represents the Program Offices, work has already begun with the National Laboratories and the Staff Offices to add their high value data, information and tools to expand and complete the inventory of high value data available to the public.

THE DOE FREEDOM OF INFORMATION ACT (FOIA) PROGRAM

Over the past 18 months, the Department has been working diligently to improve its FOIA performance. An assessment of the Department's FOIA policies and procedures was undertaken and it was determined reforms were needed to improve the time it takes to process each FOIA request. Two areas in particular were targeted for improvement: increasing face-to-face communication between DOE employees assigned FOIA responsibilities and ensuring sufficient visibility of FOIA Programs throughout the DOE.

In July 2009, DOE hosted a FOIA training workshop, which was attended by 90 specialists and other personnel from across the country. The workshop featured presentations on the roles and responsibilities of the DOE organizations responsible for key FOIA functions, including the Office of Management; the Office of General Counsel; the Office of Classification; the Office of Hearings and Appeals; DOE's program, staff and support offices, which maintain the Department's records; and the Office of the Chief Information Officer, which oversees DOE's information technology. Workshop participants were introduced to FOIAXpress and taught the importance of maintaining communications with FOIA requestors to clarify requests, updating the status of requests and provide interim responses to demonstrate progress in responding to requests. DOE plans to offer additional FOIAXpress training on a regular basis for any new FOIA specialists and as a refresher course for current FOIA specialists.

In October 2009, the Department began using the FOIAXpress tracking and processing software system agency-wide to better coordinate processing agency responses to requestors. The software also enables management to establish and monitor metrics regarding timely processing.

DOE's Under Secretaries, Assistant Secretaries and the heads of other Department offices now are regularly advised of pending FOIA requests assigned to their organizations. In addition, the Headquarters FOIA Officer and his staff conduct bi-weekly meetings/conference calls with every DOE office/record holder regarding the status, issues and progress made in processing FOIA requests.

The Department is also focusing on reducing the number of backlogged cases and administrative appeals, a challenge facing agencies throughout the Federal Government. All Federal agencies have been called on to reduce FOIA backlogs by 10 percent annually. The DOE has established a 15 percent reduction goal as part of a three-year plan established in 2008. The DOE's Chief Freedom of Information Act (FOIA) Officer Report for FY2009 details its efforts to reduce its FOIA backlog and improve timeliness in responding to requests. During the 2009 fiscal year, DOE processed 69 percent of the cases that were reported as backlogged and pending in

the FY 2008 DOE Annual FOIA Report. This included 58 percent of cases that were five or more years old. There also was a 33 percent reduction in the number of backlogged administrative appeals between FY 2008 and FY 2009. To further reduce the backlog, the DOE FOIA Program is compiling a list of FOIA requests that are two or more years old and assigning a staff member to focus exclusively on monitoring FOIA specialists' progress on these older requests.

The DOE is committed to improving its FOIA performance by favoring disclosure and transparency, engaging its leadership and staff more fully, working cooperatively with FOIA requestors, anticipating interest in records before requests are made and making requested records available promptly.

RECENTLY INAUGURATED DOE PROGRAMS

OpenNet (www.osti.gov/opennet/)
In support of its commitment to openness, the DOE has developed OpenNet.   OpenNet provides easy, timely access to recently declassified documents, including information declassified in response to Freedom of Information Act requests.

As an example, the DOE has embarked on the Nuclear Weapons Film Declassification Project to make available to the public and many users films that contain historically significant events in the development of the U.S. nuclear weapons program. The film project is being carried out by DOE's Albuquerque Operations Office (AL) in cooperation with the U.S. Department of Defense (DoD).

Green Energy Portal (www.osti.gov/greenenergy)
The DOE Office of Scientific and Technical Information launched the Green Energy Portal. The portal hosts green energy results from research and development conducted throughout the Department and by DOE-funded awards at universities. These green energy results consist of over 30,000 technical reports and over 2,000 patents from R&D projects representing an investment of several billion dollars.

This data collection has been developed for researchers to accelerate scientific discovery and innovation and for business and industry to stimulate economic growth related to renewable energy and energy efficiency.

Multilingual WorldWideScience.org (http://worldwidescience.org/multi)
The DOE launched the beta version of Multilingual WorldWideScience.org, a site which offers real-time searching and translation of globally-dispersed collections of scientific literature. This new capability is the result of an international public-private partnership between the WorldWideScience.org Alliance and the Microsoft Research. Multilingual WorldWideScience.org builds on its previous English-only capabilities to allow users to search non-English databases in China, Russia, France and several Latin American countries and receive search results translated into one of nine languages, including English, Chinese, French, German, Japanese, Korea, Portuguese, Spanish and Russian. More languages will be added in the coming months.

A. *Provide your agency's Information Resources Management (IRM) Strategic Plan and EA Plan;*

    DOE's Information Resources Management (IRM) Strategic Plan is posted to:
- http://www.cio.energy.gov/documents/DOE_IRM_Strategic_Plan2009-2011.pdf

    DOE's Enterprise Architecture Plan is posted to:
- http://www.cio.energy.gov/enterprise-architecture.htm

B. *For each E-Gov initiative, provide the final determinations, priorities, and schedules. Also include your agency's information dissemination product catalogs, directories, inventories, and any other management tools used to improve the dissemination of and access to your agency's information to the public.*

    The DOE is not the lead agency for any current E-Gov initiative. The DOE Open Government priorities and schedules can be found in the DOE Open Government Plan at www.energy.gov/open.

    The DOE's information dissemination materials and other management tools are posted to:
- *http://www.energy.gov/webpolicies.htm*
- *http://cio.energy.gov/publications/web.htm*
- *http://cio.energy.gov/policy-guidance/federal_regulations.htm*
- *http://cio.energy.gov/policy-guidance/guidance.htm*
- *http://cio.energy.gov/policy-guidance/omb_requirements.htm*
- *http://www.osti.gov*
- *http://management.energy.gov/foia_pa.htm*

C. *Identify improved performance (e.g. outcome measures) by tracking performance measures supporting agency objectives and strategic goals;*

    The **Annual Performance Report (APR)** provides detailed performance information related to the Department's suite of performance metrics and a description of the annual result for each measure.
- http://www.energy.gov/about/budget.htm

D. Agency's Freedom of Information Act (FOIA) handbook, the URL of your agency's primary FOIA Web site, and the URL where frequent requests for records are made available to the public;

The DOE's FOIA information is posted to:
- http://management.energy.gov/foia_pa.htm
- http://management.energy.gov/FOIA/freq_req_docs.htm

E.   A list of your agency's public Web sites disseminating research and development (R&D) information to the public, describing for each whether the website provides the public information about federally funded R&D activities and/or provides the results of Federal research;

The DOE Office of Scientific and Technical Information (www.osti.gov) provides links to several resources containing the results of federally funded R&D activities as well as information about R&D projects. Several of the resources available are identified as "high value" data sets by the Department and make DOE R&D results more transparent. They include:
- A single-query portal to a range of DOE R&D databases maintained by the Office of Scientific and Technical Information (http://www.scienceaccelerator.gov/)
- Energy Citations Database (www.osti.gov/energycitations)
- Information Bridge (www.osti.gov/bridge)
- DOE Research and Development Project Summaries (www.osti.gov/rdprojects)
- An interagency portal providing single-query access to R&D results of 14 Federal agencies governed by a voluntary collaboration of 18 U.S. government science organizations, which enables the public, science professionals, students, educators and the business community to find authoritative government science information without having to know which Federal agency holds that information (www.science.gov)

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

An inventory describing formal agency agreements with external entities is posted to:
- *http://www.osti.gov/alliances*

G. *An inventory that describes your agency's NARA-approved records schedules(s) or the link to the publicly-posted records schedules(s), and a brief explanation of your agency's progress to implement NARA Bulletin 2006-2. For the brief explanation please report the number of systems for which a record schedule was submitted to NARA in FY 2010 and the number of systems still requiring records schedules;*

An inventory describing DOE's records schedules is posted to:

- http://www.cio.energy.gov/records-management/disposition.htm

DOE has implemented NARA Bulletin 2006-02, and NARA has approved records schedules for all DOE electronic information systems with one exception. DOE submitted a schedule to NARA for the remaining system in FY 2009 and NARA's approval is pending. DOE did not submit any schedules for electronic systems to NARA in FY 2010.

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

The DOE has implemented the use of electronic signatures allowing Department officials to sign documents and carry out business transactions electronically. The use of electronic signatures provides assurance that the authors and signatories of e-mails and/or electronic files are who they claim to be and provides significant advantages, such as improved security and streamlining business activities.

The DOE Strategic Integrated Procurement Enterprise System (STRIPES) is a web-based IT system used for awarding and administering the Department's acquisition and financial assistance instruments. STRIPES utilizes an electronic signature methodology, therefore a manual signature is not required on STRIPES award documents. All required pre- and post-award contract and financial assistance documentation are maintained in electronic form, reside in STRIPES, and are considered the official contract file, except for any documents required by regulation to be maintained in paper copy. Official actions submitted and awarded prior to the deployment of STRIPES are not stored in STRIPES, but maintained in a paper contract file.

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

The DOE participates in the E-Rulemaking initiative (http://www.regulations.gov) which provides citizens a one-stop Internet site to easily access and participate in federal rulemaking activities. Citizens can access federal regulations on the Internet, and search, view and comment on DOE proposed rulemakings.

DOE also uses the Federal Docket Management System (FDMS), a government-wide electronic docket management system, in its regulatory business activities.

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

The DOE performance goals are linked to key stakeholders, private sector, other agencies, and internal operations in the DOE Strategic Plan and Annual Performance Report. These documents are available for review by the public and posted to:

- http://www.cfo.doe.gov/strategicplan/strategicplan.htm
- http://www.energy.gov/about/budget.htm.

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

The DOE approach to error reduction through electronic submission is based on the adoption and use of government-wide applications designed to support a variety of administrative and mission processes. One example of this approach is the use of Electronic Questionnaires for Investigations Processing (e-QIP) for security investigation processing. e-QIP is a secure-web-based automated system which facilitates the processing of the investigative standard forms approved by the Office of Personnel Management (OPM) and the OMB. The investigation is based on the information that the applicant enters into the e-QIP system. e-QIP provides a convenient electronic form for entering, editing, and submitting the investigative form data. The applicant is asked to validate information screen-by-screen before submitting the data.

Optimizing the e-QIP submission process reduces the time required to initiate investigations and thereby provides benefit with the timeliness of the end-to-end process from initiating the requests to the time that managers are able to put people to work. The OMB's designated goal relating to the rejection rate for e-QIP submissions is 5% or less. The DOE has consistently remained at 1% over the past year.

Additionally, as a result of e-delivery of OPM background investigation case files, the DOE is experiencing a decrease in total clearance processing time and a reduction in the loss of background investigation case files due to mailing and shipping errors.

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

The Office of the Chief Information Officer is responsible for promoting and providing Information Technology (IT) Services DOE-wide to persons regardless of disability, and providing Section 508 Compliance Assistance and Guidance where appropriate.

To date, the OCIO has established a designated Agency Overall Section 508 Coordinator responsible for providing a lead role in responding to ad hoc Section 508 requests and in establishing overall 508 Program implementation strategy. Recent efforts in bringing IT Field Sites and Headquarters under one DOE Standard Operating Desktop System will enhance efforts necessary in establishing full Section 508 Compliance.

Though DOE has experienced success, there have been challenges including enhancing current Policy, establishing DOE specific 508 guidance, and establishing agreed and necessary funding. In an effort to meet this requirement, DOE must work closely with the established Section 508 Charter Working

Group responsible for working with Headquarters and Field Site IT Management in meeting what is anticipated to be a larger scale effort necessary in ensuring full compliance.

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

As a result of the Office of the Chief Information Officer's A-76 implementation, the IT Operations Program has experienced roughly $160M in cost savings/avoidance from inception in FY 2006 through FY 2009. As of 12/31/09, the projected cost to perform the IT functions over the four-year period prior to A-76 implementation was in excess of $621M.   Actual costs incurred were less than $329M**.**