

## ICA Country Report 2004

### United States

#### 1. Overview: The US Strategy

The US Government's approach to information and communications technologies [ICT] and E-Government is progressing from the management of the initial 24 high-payoff cross-agency initiatives to the implementation of the organizational, architectural and procurement pieces necessary to manage ICT in the context of a government-wide enterprise architecture.

What could be called Phase I of our E-Government implementation began in July 2001 with the release of the President's Management Agenda, which identified E-Government as a management priority. This effort was further buttressed by the E-Government Strategy developed and led by the Office of Management and Budget [OMB] and the E-Government Act of 2002 passed by Congress. The focus of Phase I was on the launch of 24 cross-agency initiatives, organized into four 'portfolios': Government to Citizen, Government to Business, Government to Government, and Internal Efficiency and Effectiveness. In the past two plus years, these 24 initiatives have achieved many successes. In general, citizens and businesses have better access to government services than ever before. In addition, interagency and intergovernmental collaboration is on the rise and government is working more efficiently and effectively to achieve results. These initiatives are now 'operational.' They are to function on their own without the close managerial involvement of OMB. The E-Government Act also resulted in important initiatives to improve our approach to E-Government, one of the most notable being the work of the Interagency Committee on Government Information [ICGI], which was created in June 2003 to implement Section 207 of the E-Government Act. The group has developed recommendations and guidelines to improve access to federal government information, dissemination of federal government information and the retention of federal government information.

Efforts have now shifted to what could be called Phase II of our implementation of E-Government, the use and management of ICT in support of the enterprise. The Federal Enterprise Architecture, a business- and performance-based set of reference models for cross-agency, government-wide improvement, forms the basis of this next phase. Highlighted efforts in the phase include the new Lines of Business initiatives to build solutions across common lines of business shared by agencies, the development of a components-based architecture and the SmartBuy initiative to establish enterprise licensing agreements for software across all of government.

Before benefits of ICT and E-Government can be fully realized in the US Government, there are challenges some familiar and some new – we must face: The Department of Homeland Security must use ICT to support the most important of government functions while navigating the largest government reorganization and restructuring in over a half-

century. Improving cybersecurity will be a prerequisite for realizing the potential of E-Government. Marketing E-Government services and increasing citizen take-up of online services is necessary for a return on investment. IT staffing and project management skills are still at a premium for governments undertaking large-scale and complex IT initiatives. Perhaps the most difficult issue remains the funding of E-Gov initiatives that cross government. Finally, the outcome of the upcoming Presidential Election in November 2004 will have an impact on our approach.

## 2. Operational Issues

### E-Government Strategy and the 24 Cross-Agency Initiatives

In 2001, President Bush initiated several government reform efforts, collectively known as the President's Management Agenda [PMA], to make the Federal government more results-oriented, efficient and citizen-centered. One element of the PMA is Expanding Electronic Government or 'E-Government'. This effort is designed to make better use of information technology [IT] investments to eliminate billions of dollars of wasteful federal spending, reduce government's paperwork burden on citizens and businesses, and improve government response time to citizens. The focus of this strategy was 24 cross-agency initiatives, organized into four 'portfolios': Government to Citizen, Government to Business, Government to Government, and Internal Efficiency and Effectiveness. After two years of leadership and from OMB, these initiatives are now 'operational'. They are to function on their own without the close managerial involvement of OMB. The strategy is currently being updated to reflect the transition of the original 24 initiatives to operational initiatives, and the next phase of E-Government efforts to manage IT as an enterprise through architecture, managing by lines of business as opposed to agency programs, and acquiring enterprise solutions as opposed to redundant agency specific solutions.

E-Government Initiatives Site: <http://www.whitehouse.gov/omb/egov/>

The list below outlines the achievements of the 24 E-Government Initiatives:

- GovBenefits.gov: Representing more than \$2 trillion in federal benefit dollars, GovBenefits.gov provides on-line access to 419 citizen-focused federal benefit programs and 108 state level benefit programs with representation from all 50 states plus DC. In its first year, GovBenefits.gov was honored with Government Executive Magazine's 2002 Grace Hopper Government Technology Leadership award and listed as one of USA Today's 'Hot Sites'. GovBenefits.gov's latest achievement is GovBenefits.gov En Español, offering Spanish-speaking communities greater access to available federal and state benefits.  
[www.govbenefits.gov](http://www.govbenefits.gov)
- Recreation One-Stop: Provides citizens with easy access to roughly 3,000 federal parks and other recreation sites, including about 2,000 campgrounds, representing about 150,000 campsites, managed by 10 Federal organizations, six states, one county, and one regional park authority. Using data provided by the Geospatial

- One-Stop initiative, citizens can search by recreation activity, location, or even by interactive map to find recreation sites within a certain distance of where they are planning to visit.  
[www.recreation.gov](http://www.recreation.gov)
- IRS Free File: Provides a single-point of access to free on-line preparation and electronic tax filing services. At least 60% of all Americans were eligible to use IRS Free File during the 2002 and 2003 filing season through a partnership agreement between the IRS and the Free File Alliance. For the 2002 tax season, 2.8 million taxpayers filed on-line at [www.irs.gov](http://www.irs.gov), representing 23.5% of all returns filed electronically with the IRS. In its second year, the Free File program saw 3.4 million taxpayers use the free on-line filing service. In addition, the Free File web site logged 12.5 million page visits through June 30, 2004.  
[www.irs.gov/app/freeFile/welcome.jsp](http://www.irs.gov/app/freeFile/welcome.jsp)
  - E-Loans: The E-Loans partner agencies, ED, USDA, HUD, SBA, and VA, recently launched [GovLoans.gov](http://GovLoans.gov), a single point of access for citizens to locate federal loan information on the Web. INCORPORATING?? Built in partnership with DOL/[GovBenefits.gov](http://GovBenefits.gov), and with feedback from citizens and the private sector, [GovLoans.gov](http://GovLoans.gov) provides details about federal loan programs, plus FAQs, loan comparison charts, Glossary terms, links to lender locators, and other resources.  
[www.govloans.gov](http://www.govloans.gov)
  - USA Services: Presents citizens with a single ‘front door’ to government, allowing them to receive accurate, timely, and consistent answers and information. Through [Firstgov.gov](http://Firstgov.gov), the National Contact Center (1-800-FED-INFO), and the Pueblo, Colorado, publication distribution facility, USA Services had 209 million citizen contacts in FY2003. USA Services also helps other E-Gov Initiatives and Federal agencies better respond to citizen inquiries. Currently, the initiative has 14 agencies signed up to send USA Services misdirected calls and e-mails. Additionally, the initiative provides Tier 1 service to 6 agencies, in which USA Services personnel responds to citizens’ frequently asked questions with information that has been cleared through agency experts.  
[www.firstgov.gov](http://www.firstgov.gov), 1-800-FED-INFO, Pueblo, CO
  - E-Rulemaking: Makes it quicker and easier for citizens and small businesses to participate in the federal rulemaking process via the web. [Regulations.gov](http://Regulations.gov) allows the public to search, view, and comment on hundreds of proposed federal regulations from approximately 160 federal agencies. Launched in January 2003, [Regulations.gov](http://Regulations.gov) is estimated to save \$94 million over three years by consolidating redundant docket systems across agencies and reducing duplicative spending for these systems.  
[www.regulations.gov](http://www.regulations.gov)
  - Business Gateway: Business Gateway recently announced the launch of [Business.gov](http://Business.gov), a web site that will serve as the business gateway for US businesses

to connect with federal agencies. Business.gov is a powerful web site that will provide one-stop, on-line federal government information and services that businesses need and can access in one easy-to-find location. Business.gov allows businesses to connect quickly and efficiently to information on business development, financial assistance, taxes, laws and regulations, international trade, workplace issues, buying and selling, and federal forms. The site currently has more than 2,000 forms for businesses to fill out on-line or on paper, print, and send to federal agencies.

[www.business.gov](http://www.business.gov)

- Expanding Electronic Tax Products for Businesses: New business owners can now apply for and receive an Employer Identification Number [EIN] on-line through the Expanding Electronic Tax Products for Businesses initiative. Before this was available, people had to fill out and mail a paper version of the EIN form, and wait up to two weeks to receive their EIN from the IRS. With the on-line EIN application, they can receive their EIN immediately. Since the service was launched in April, 2003, the IRS has received over 1.5 million on-line applications for EINs.
- International Trade Process Streamlining: Answers the business community's request to unify and consolidate government-sponsored export assistance programs and market information into an agency-neutral information portal. The initiative accomplishes this by providing a central source of information for the business community of federal export promotion and export financing programs through Export.gov. By making the process easier, clearer, and more available, more small and medium-sized (SME) businesses will choose to export their products, and current US exporters will increase their markets to include additional countries. If results facilitated by this initiative could see a modest ½ 0.5?? percent increase in the level of SME exports (\$1.1 billion), this would result in a significant growth in export-related employment.  
[www.export.gov](http://www.export.gov)
- Consolidated Health Informatics: HHS, DOD, and VA are working with other federal agencies to identify appropriate, existing data standards and to endorse them for use across the federal health care sector. The CHI initiative recently announced the adoption of 15 new standards building on the existing set of 5 standards adopted in March, 2003. The CHI standards will help improve quality of care by making it easier to coordinate care and exchange needed information across federal agencies and will serve as a model for the private sector.
- Geospatial One-Stop: Geospatial One-Stop's web portal, GeoData.gov, makes it easier, faster, and less expensive to find, share, and access geospatial information across all levels of government. Since its launch in July 2003, the web site has also provided mapping assistance for natural disaster tracking and response. Twice in September, GeoData.gov quickly compiled and posted links to maps, web sites, and information from numerous government sources on the impending

- impact of Hurricane Isabel as well as the September 25<sup>th</sup> earthquake in Japan and its potential impact on the United States.  
[www.geodata.gov](http://www.geodata.gov)
- Disaster Management: Provides federal, state, and local emergency managers on-line access to disaster management related information, planning, and response tools. Since its inception in November 2002, DisasterHelp.gov has registered almost 15,000 user accounts. Services provided by Disaster Management have been used in 43 actual emergencies and 226 disaster preparedness exercises to assist first responders in responding to the needs to citizens.  
[www.disasterhelp.gov](http://www.disasterhelp.gov)
  - SAFECOM: SAFECOM recently released the first comprehensive Statement of Requirements [SOR] document outlining future technology requirements for public safety wireless communications and interoperability. The SOR marks the first time the 50,000 public safety agencies have a document that defines future requirements for communicating and sharing information - as authorized, when and where needed, and in a manner that allows for the most effective use of that information.  
[www.safecomprogram.gov](http://www.safecomprogram.gov)
  - E-Vital: Three states (Montana, New Hampshire, and South Dakota) recently deployed their Electronic Death Registration [EDR] systems through the coordination of the E-Vital initiative. EDR automates the transfer of death certificate information using the Internet, resulting in more accurate and available information. EDR will save the federal government between \$36 million and \$41 million in program savings annually when implemented in 90% of the States (estimated to occur in 2010) by preventing incorrect benefit payments from the federal government. Additional savings can be realized with EDR due to immediate termination of benefits, reduction in time needed for data input, alert development, erroneous death reversals, and reduction of other federal and state resources. Additionally EDR will reduce the likelihood of fraud because States will be able to cross-match birth and death records more timely and accurately, lessening the possibility that a person can assume the identity of a deceased individual.
  - Grants.gov: In October of 2003?? WORDING ALTERED SLIGHTLY Grants.gov, the Federal government's central portal for finding Federal grants, officially launched their web site, which provides information in a standardized format across agencies and includes a 'Find Grant Opportunities' feature to help applicants find potential funding opportunities and an 'Apply for Grants' feature that greatly simplifies the application process. Since the launch 157 grant programs have been made available for electronic application through Grants.gov and 825 grant applications have been received electronically. Grants.gov has more than \$360 billion in annual grants from 26 federal agencies available on-line for grantees to find and apply for.

[www.grants.gov](http://www.grants.gov)

- E-Training: Considered the number one most visited on-line training site in the world, E-Training's web site, GoLearn.gov, has over 3,000 e-training courses, e-books, and career development resources. More than 220,000 federal employees have used the site to complete over 195,000 courses at a cost of pennies per course. The initiative is estimated to save taxpayers about \$784 million over the next 10 years.

[www.golearn.gov](http://www.golearn.gov)

- Recruitment One-Stop: OPM unveiled the new look and feel USAJOBS in August of 2003 with the adoption of an advanced job-search engine and improved navigation. Recently there have been a string of enhancements including a revised on-line vacancy announcement encouraging agencies to improve job descriptions and the ability for registered job seekers to receive job announcements by e-mail. In May alone, OPM sent 3,009,175 e-mail notices to registered USAJOBS job seekers. Since the re-launch, job seekers have logged more than 65 million visits to the web site and created over 600,000 new on-line resumes.

[www.usajobs.opm.gov](http://www.usajobs.opm.gov)

- Enterprise HR Integration: Streamlines personnel management actions and provides HR managers and specialists with an impressive array of workforce analytical and planning capabilities. To date the initiative has released its first deployment which includes 8 years of Central Personnel Data File [CPDF] data. Additionally, EHRI has deployed a workforce analysis and forecasting tool and an initial Business Intelligence tool with ad hoc query capability and limited standard reporting capability. When fully implemented, EHRI offers the taxpayer a potential savings estimated at \$235M over 10 years.

[www.opm.gov/egov](http://www.opm.gov/egov)

- E-Clearance: Improves and speeds up the processing of investigations for federal security clearances. Recent improvements to the clearance process have included the Clearance Verification System [CVS] portal, a system designed to monitor and provide access to existing clearance information. With the connection of the DOD and OPM clearance databases through CVS, more than 98% of all government security clearances are now available for searching in one virtual database. E-Clearance has also deployed the electronic Questionnaire for Investigations Processing [eQIP], an automated information collection tool that obtains and stores data from the clearance applicant so that information will not need to be re-collected and re-entered for future evaluations. eQIP reduces the time for applicants to complete the clearance application so that federal agencies can schedule background investigations sooner. As of July 1, 2004, 28 agencies have received training on these systems. The initiative is expected to save the government \$260 million over 10 years.

[www.opm.gov/egov](http://www.opm.gov/egov)

- E-Payroll: This initiative, which is working to consolidate 22 federal payroll systems to simplify and standardize federal payroll processes, is estimated to save \$1.1 billion over its lifetime. Already, 6 agencies have migrated to one of the two systems, and 5 more plan to migrate this year.  
[www.opm.gov/egov](http://www.opm.gov/egov)
- E-Travel: GSA announced all three E-Travel vendors' were approved and certified to provide a common travel management service to federal agencies. In June 2004 GCN reported, 'By centralizing operations, E-Travel is intended to remedy government-wide problems with inconsistent processes'. The E-Travel Service (eTS) provides travelers with an on-line tool with help desk support to make travel arrangements from beginning to end including air travel, hotel accommodation and rental cars. It expedites the approval process, interfaces with agency accounting systems, and creates vouchers for reimbursement. eTS also supports travel policy compliance. As of July 2004, 6 agencies have selected an eTS vendor and have started implementation of the service. eTS will save more than \$730 million over the next 10 years, including \$230 million in transactions costs' ??SE??. GCN reported in May 2004.  
<http://egov.gsa.gov>
- Integrated Acquisition Environment: The IAE initiative creates a secure business environment that facilitates and supports cost-effective acquisition of goods and services by agencies, while eliminating inefficiencies in the current acquisition environment. IAE's most recent successes included a cross-agency initiative with the SBA, OMB, GSA and DOD to integrate the Pro-Net and CCR database to simplify the contracting process for small businesses by creating a single point of registration for business data. Additionally, IAE launched the Wage Determinations Online [WDOL] portal and began the processing of rent transactions thru the Intra-Governmental Transactions Exchange portal.  
<http://egov.gsa.gov>
- E-Records Management: Provides policy guidance to help agencies better manage their electronic records so that records information can be effectively used to support timely and effective decision making, enhance service delivery, and ensure accountability. The initiative most recently issued guidance to supplement current requirements for transferring permanent electronic records to NARA. This guidance expands currently acceptable formats to enable the transfer of permanent digital geospatial data records created for Geographic Information Systems [GIS] to NARA.  
[http://www.archives.gov/records\\_management/initiatives/erm\\_overview.html](http://www.archives.gov/records_management/initiatives/erm_overview.html)
- E-Authentication: E-Authentication is establishing the infrastructure to allow citizens, businesses, state and local governments and Federal employees to access Federal programs and services on the Internet more quickly and at a reduced burden. On July 7<sup>th</sup>, the Initiative's Executive Board approved the final architecture, which features an open standards-based, federated approach. This approach allows E-Authentication to meet the diverse authentication needs of its

many customers with one service offering based on a single set of policies, but supported by multiple technologies and interoperable products. E-Authentication is currently conducting multiple pilots and plans to move to full production by the end of 2004.

<http://www.cio.gov/eauthentication/>

### Implementing the E-Government Act of 2002

The E-Government Act of 2002 was signed on December 17, 2002, with an effective date for most provisions of April 17, 2003. Among its many provisions, the Act:

- Established an E-Gov Administrator and Office of E-Government in OMB to serve the government-wide CIO and CIO Office.
- Formalized the establishment of a Chief Information Officers [CIO] Council.
- Endorsed and required agencies to support cross agency initiatives such as E-Rulemaking, Geospatial One-Stop, E-Records Management, E-Authentication, Disaster Management, FirstGov, and the Federal Enterprise Architecture.
- Strengthened cybersecurity by permanently reauthorizing and amending agency information security requirements through the Federal Information Security Management Act [FISMA].
- Required Privacy Impact Assessments for new IT investments and on-line information collections.
- Authorized an E-Gov Fund for cross agency initiatives.
- Development of recommendations and guidance for categorizing and indexing government information, agency web sites, and management of electronic records.

After nearly two years, the impact of this legislation has been mixed. On the positive side, OMB has asserted itself as the government CIO, which has resulted in more centralized policy and direction and better co-ordination. Cybersecurity is becoming a higher priority with 70 percent of the Federal Government's IT systems being classified as secure, versus 26 percent three years ago. Agencies have satisfied the Privacy Impact Assessment requirement by providing assessments when system changes created new privacy risks. The aforementioned cross-agency initiatives have also seen many successes. However, there have been some problems. The E-Government Fund, which had been authorized for \$345 million over six years, has seen only seen \$13 million appropriated by Congress from 2002-2004. In FY04, the administration requested \$45 million in his proposed budget and received \$3 million. Just \$5 million has been requested for FY05. Without a source of funds to manage cross-agency projects, moving beyond the Phase I of E-Gov will be difficult.

E-Gov Act

<http://thomas.loc.gov/cgi-bin/bdquery/z?d107:HR02458:|TOM:/bss/d107query.html>

FY 2003 Report to Congress on Implementation of The E-Government Act

[http://www.whitehouse.gov/omb/egov/downloads/2003egov\\_report.pdf](http://www.whitehouse.gov/omb/egov/downloads/2003egov_report.pdf)

*Interagency Committee on Government Information (ICGI)*

One success resulting from the E-Government Act has been the Interagency Committee on Government Information (ICGI). The ICGI was created in June 2003 to implement Section 207 of the E-Government Act of 2002. The ICGI has an extensive agenda to draft recommendations and share effective practices for:

- Access to federal government information.
- Dissemination of federal government information.
- Retention of federal government information.

The ultimate goal is to make it easier for all Americans to find and use the government information and services they need. The ICGI is managed by an Executive Committee, comprised of representatives from the Office of Management and Budget (OMB), the federal Chief Information Officers Council, the National Archives and Records Administration (NARA), and the General Services Administration (GSA). The Committee has established three Work Groups to carry out its work:

- Electronic Records Policy Work Group
- Web Content Management Work Group
- Categorization of Information Work Group

The Work Groups include representatives from throughout all three branches of the federal government, and includes information technology specialists, public affairs officers, librarians, electronic records managers, web content managers, e-government program managers, and others. The Work Groups are available for consultation with any federal agency and will solicit comments on its work from all agencies. The Work Groups report to the ICGI Executive Committee.

ICGI: <http://www.cio.gov/documents/ICGI.html>

*Electronic Records Policy Work Group (ERPWG)*

The ERPWG is developing recommendations for the Archivist of the United States and the OMB Director regarding policies and procedures ensuring effective management of electronic records (Internet-based and otherwise). The recommendations are scheduled to be submitted by the end of 2004.

In a draft report, the ERPWG identified four broad barriers to effective management of government electronic records and information:

- Barrier 1: Records and information are not managed as agency business assets.
- Barrier 2: Records management is not viewed as critical to agency mission. It is either not incorporated into business processes, or not incorporated early enough, particularly as these processes are automated.

- Barrier 3: Marginal support for records management has led to a lack of training, tools, and guidance for all staff within Federal agencies.
- Barrier 4: The records management and information technology disciplines are poorly integrated within Federal agencies.

The ERPWG will evaluate various approaches and proposed directions for dealing with these barriers before presenting its final recommendations to the ICGI. Many of the approaches will likely leverage several ongoing and planned initiatives underway in the National Archives and Records Administration.

‘A REPORT TO THE INTERAGENCY COMMITTEE ON GOVERNMENT INFORMATION BARRIERS TO THE EFFECTIVE MANAGEMENT OF GOVERNMENT INFORMATION ON THE INTERNET AND OTHER ELECTRONIC RECORDS’

[http://www.cio.gov/documents/ICGI/ERPWG\\_Barriers.pdf](http://www.cio.gov/documents/ICGI/ERPWG_Barriers.pdf)

National Archives and Records Administration  
[www.nara.gov](http://www.nara.gov)

#### Web Content Management Work Group

There are two efforts within this work group: the development of web content standards and a Public Domain Directory of Federal Web Sites. The goal of the Web Content Standards effort strives to develop web content standards and guidelines that make it easier for all Americans to find and use the government information and services they want and need on the Internet; and provide more standardization and higher overall quality of federal websites. The Public Domain Directory effort seeks to build on existing FirstGov.gov taxonomies to make it easy for visitors to federal websites to find federal government information services based on their needs, irrespective of their knowledge of the government’s organizational structure. The group has published a Recommended Policies and Guidelines for Federal Public Websites. These policies and guidelines are summarized below:

- **Citizens must be able to identify official federal government websites and trust that those websites will provide current and accurate government information.** Federal public websites must use government domains, show US sponsorship, follow basic common linking practices and be current.
- **Federal public websites must be written and organized from the audiences’ point of view.** Content must be organized in ways that make sense to citizens and intended audiences. Homepages must be written and organized from the viewpoint of the public and federal public websites should not be used for employee information. Federal public websites must use basic common content, terminology, and placement. Organizations must measure customer satisfaction and usability of federal public websites.

- **Federal public websites must be designed and written to ensure they are easy to access and use.** Federal public websites must provide easy access, be written in plain language, have consistent navigation, have a search engine and use standard metadata. Federal public websites should provide access to documents in appropriate file formats and provide appropriate access to data. Organizations must inform audiences of website changes and ensure continuity of operations during emergencies.
- **To promote seamless government, federal organizations must work to simplify and unify information across the government.** Federal public websites should avoid duplication and link to appropriate government-wide portals. Organizations should collaborate in developing government-wide portals. Federal public websites must link to FirstGov.gov and link back to the website's homepage from every subordinate page.
- **Federal organizations must establish priorities and a schedule for posting content on their public websites.** Agencies must comply with Section 207(f)2 of the E-Government Act of 2002.
- **Organizations must continue to comply with existing federal laws, regulations and policies.** Existing requirements include: privacy; security protocols; accessibility; Freedom of Information; information quality; limited English proficiency; paperwork reduction; paperwork elimination; records management; digital rights, copyright, trademark, and patents; performance results; No Fear Act; small business paperwork relief; restrictions on lobbying; scheduling content to be posted; and categorizing information.
- **Developing web content policies and requirements for federal public websites is an ongoing process, requiring structure.** The Office of Management and Budget (OMB) should establish a Web Content Advisory Council; create processes to approve common content and links and to coordinate cross-agency portals; and require agencies to report progress and compliance with web content policies and requirements.

Recommended Policies and Guidelines for Federal Public Websites

<http://www.cio.gov/documents/ICGI/ICGI-June9report.pdf>

*Categorization of Government Information Working Group*

The task of CGI is to develop recommendations for the Office of Management and Budget (OMB) on:

- The adoption of standards, which are open to the maximum extent feasible, to enable the organization and categorization of Government information in a way that is searchable electronically, including by searchable identifiers; and in ways that are interoperable across agencies;
- The definition of categories of Government information that should be classified under the standards and determining priorities and developing schedules for the initial implementation of the standards by agencies.

The group has released two draft documents outlining their recommendations:

The first is entitled REQUIREMENTS FOR ENABLING THE IDENTIFICATION, CATEGORIZATION AND CONSISTENT RETRIEVAL OF GOVERNMENT INFORMATION. The draft defines requirements for enabling the identification, categorization and consistent retrieval of US Federal Government information. It addresses: What government information can be categorized? What are searchable identifiers and how can they be applied to government information? And, Why should Agencies and Departments apply categorization?

<http://www.cio.gov/documents/ICGI/CGI-Requirement-040805.doc>

The second document is the draft 'Recommendation for Search Interoperability', which concerns how the US Federal Government should adopt a search service standard to enhance interoperability among networked systems that aid in the discovery of and access to government information. The draft recommends that the US Federal Government adopt a search service standard to enhance interoperability among networked systems that aid in the discovery of and access to government information. The adopted search service standard should be the ISO 23950 international standard, thereby providing a high degree of interoperability across many communities of practice and types of data and information holdings.

<http://www.cio.gov/documents/ICGI/recommendation.html>

### **3. Organizational Issues**

#### **Federal Enterprise Architecture**

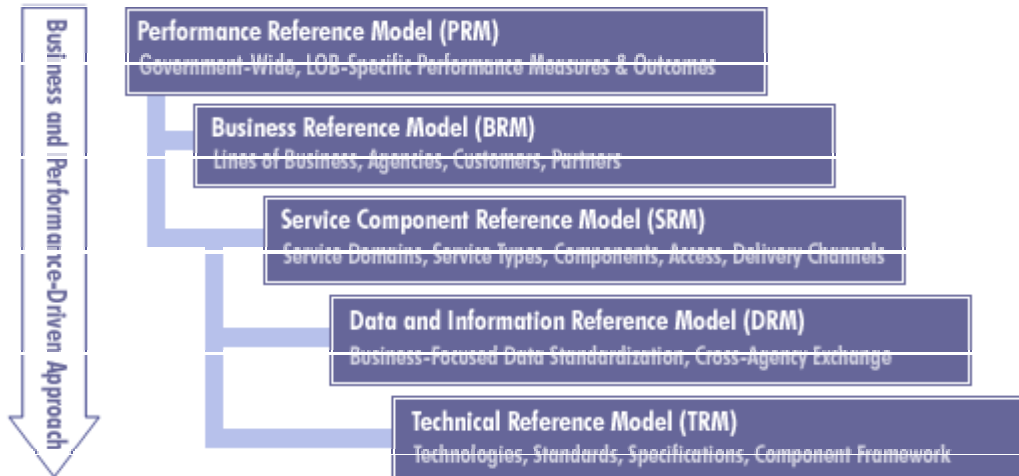
While Phase I focused on 24 High Payoff initiatives, the enterprise architecture will provide the underpinning of Phase II of our strategy. The FEA is a business- and performance-based set of reference models for cross-agency, government-wide improvement. The lack of an FEA to support cross-agency collaboration was cited as a key barrier to the success of the 24 Presidential Priority E-Government Initiatives. The purpose of the FEA is to identify opportunities to simplify processes, re-use federal IT investments and unify work across the agencies and within the lines of business of the federal government. The goal of this effort is to become a more citizen-centered, customer-focused government that maximizes technology investments to better achieve mission outcomes. Collectively, the FEA reference models provide definitions and constructs of the business, performance and technology of the federal government. The reference models will serve as a foundation to leverage existing processes, capabilities, components and technologies as government agencies build target enterprise architectures. They are designed to facilitate cross-agency analysis and the identification of duplicative investments, gaps and opportunities for collaboration within and across federal agencies.

The FEA is being constructed through a collection of interrelated 'reference models' designed to facilitate cross-agency analysis and the identification of duplicative investments, gaps and opportunities for collaboration within and across Federal Agencies. These models are defined as:

Performance Reference Model [PRM]
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<a href="http://www.feapmo.gov/feaPrm2.asp">http://www.feapmo.gov/feaPrm2.asp</a>
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Business Reference Model [BRM]	<a href="http://www.feapmo.gov/feaBrm2.asp">http://www.feapmo.gov/feaBrm2.asp</a>
Service Component Reference Model [SRM]	<a href="http://www.feapmo.gov/feaSrm2.asp">http://www.feapmo.gov/feaSrm2.asp</a>
Data and Information Reference Model [DRM]	<a href="http://www.feapmo.gov/feaDrm.asp">http://www.feapmo.gov/feaDrm.asp</a>
Technical Reference Model [TRM]	<a href="http://www.feapmo.gov/feaTrm2.asp">http://www.feapmo.gov/feaTrm2.asp</a>



### Lines of Business

Building upon the efforts of the Federal Enterprise Architecture Program, the Office of Management and Budget [OMB] and designated agency task forces have launched the Line of Business Initiative. This initiative seeks to develop business-driven, common solutions for five Lines of Business [LoBs] that span across the Federal government. The five LoBs and their agency task-force leads are:

- Financial Management [FM]                      The Departments of Energy and Labor
- Human Resources Management [HR]              The Office of Personnel Management
- Grants Management [GM]                      The National Science Foundation and the Department of Education
- Federal Health Architecture [FHA]              The Department of Health and Human Services
- Case Management [CM]                      The Department of Justice

Federal agencies through their IT Capital Planning Process and Business Case submissions to OMB have identified resources that aggregate to a total of \$10 billion for development, modernization and/or enhancement for all LoBs and over \$1 billion for Financial Management, Human Resources, and Grants alone for each fiscal year in 04 and 05.

Each of these LoBs share core business requirements that are the same and, likewise, similar business processes. Redundant investments in these LoBs cannot continue in a period of fiscal urgency and unprecedented opportunities through the advancement of technology. Through this LoB effort, agencies will work collaboratively to implement a common solution. The graphic below depicts how the LoB initiatives relate to the FEA and E-Government Initiatives:



While the core functions of the lines of business are very similar from agency to agency, each line of business is different as to the opportunities and the degree of effort required to significantly reduce redundancies and accelerate services. Therefore the implementation of common solutions and the changes required of the IT architecture will focus on priorities to begin to realize cost savings in FY 05, significantly increasing in FY 06 as agencies migrate to the common solutions, with major LOB goals accomplished in FY 07.

For implementation, each LoB Task Force will identify a common solution, develop a target architecture and a joint business case. A Request for Information (RFI) to interested parties was issued in April for three of the initiatives, Financial Management, Human Resources Management and Grants Management. Based on the evaluation of RFI responses, LoB Task Forces developed common solutions for each LoB to be used by agencies for their FY '06 budget plans. A common solution is not necessarily dictated by a single system and thus may have multiple technical parts. It encompasses business

practices and technology to achieve the unique vision, goals and objectives set forth by each LOB. Based on the identified common solution and target architecture, the LoB managing partners submitted joint FY06 A-11 Exhibit 300 business cases to OMB in collaboration with participating agencies. Individual agencies will still need to complete a business case, which will incorporate the plan to implement the common solution while ensuring smooth transition from their steady state operations. Each LoB initiative is summarized below.

#### Financial Management

This initiative will develop a government-wide financial management system business strategy that identifies efficiencies, improves business performance and reduces costs while continuing support for agency performance accountability, financial controls and mission effectiveness.

The initiative will define, analyze, and implement options that:

- Achieve or enhance process improvements and cost savings in the acquisition, development, implementation, and operation of financial management systems;
- Provide for standardization of business processes and data models;
- Promote seamless data exchange between Federal agencies; and
- Strengthen internal controls through real-time integration of core financial and subsidiary systems define, analyze, and implement options that.

#### Human Resources Management

This initiative will create a modern, cost-effective, standardized, and integrated Human Resource Information System(s) (HRIS) to support the strategic management of human capital.

The initiative will define, analyze, and implement options that:

- Improve the government-wide strategic management of human capital, leading to faster decision making, more informed policy making, more effective workforce management, improved resource alignment with agency missions).
- Achieve or increase operational efficiencies in the acquisition, development, implementation and operation of human resources management systems, leading to improved servicing ratio/response times, reduced cycle times, improved automated reporting.
- Increase cost savings/avoidance from HR solution planning, acquisition, development, deployment, modernization and enhancement activities, leading to reduced duplicative software/hardware/operations/labor resources, increased competitive environment.

#### Grants Management

This initiative will implement a government-wide framework to support effectively end-to-end grants management activities that: promote citizen access, customer service, financial and technical stewardship; achieve agency missions; and ensure business

efficiencies and economies of scale within varying business models identified market segments.

The goals are to identify, analyze and implement options that:

- Optimize use of best practice business processes and standard data models within identified market segments;
- Leverage and maximize existing agency and industry capabilities to support market segmented lines of business in grants management;
- Achieve or enhance cost effective savings in the enhancement and/or acquisition, implementation and operation of grants management systems.

#### Federal Health Architecture (FHA)

This initiative will result in safer and healthier citizens who have improved access to health related information and services. This will be accomplished through improved coordination and collaboration on national Health IT Solutions and improving efficiency, standardization, reliability, and availability of comprehensive health information solutions.

Due to the complex differences among the five sub-functions within the Federal Health Architecture (FHA), this LoB will not participate in the RFI process. Although the FHA sub-functions have process relationships and share some data, there is no common solution at this time to support this LoB's diverse requirements. In lieu of the RFI process, the FHA LoB Task Force will focus on rapidly completing a complete FHA architecture, a prerequisite to identifying potential common solutions.

#### Case Management

This initiative seeks to utilize common solutions and data standards so that case management information is easily and appropriately shared within and between federal and local agencies and with citizens.

Its goals are to:

- Identify a common solutions architecture that enables case management data to be shared efficiently within and across agencies.
- Improve effectiveness and efficiency of law enforcement, investigation, and civil and criminal litigation case management business processes.
- Identify common case management processes across components and agencies that will drive system and function consolidation.
- Address immediate and long-term case management needs and opportunities in the federal case management community.
- Provide guidance for future case management investments across the federal government.

#### SmartBUY

Another piece of the puzzle to manage ICT and E-Government in the context of the government-wide enterprise is Smart BUY. SmartBUY is an initiative of the Federal

government to support effective enterprise level software management through the aggregate buying of commercial software government-wide.

The government spends approximately \$62 billion on IT each year, a significant portion of which is software. Frequently, today, there is a wide disparity in prices paid by agencies for the same software products. By leveraging the government's immense buying power, SmartBUY can potentially save taxpayers hundreds of millions of dollars through reduced prices and more favorable terms and conditions.

SmartBUY officially began June 2, 2003, with the issuance of a memorandum from OMB directing agencies to participate in the SmartBUY initiative and designating GSA as the Executive Agent for SmartBUY, in accordance with provisions of the Clinger Cohen Act of 1996.

Progress has been made thus far. There are currently three agreements in place, with ESRI, Manugistics, and Novell. Oracle is reportedly close to becoming a fourth. Seven software publishers (i.e. vendors) are engaged in serious discussions regarding enterprise agreements. Additional publishers have had at least one serious discussion with the interagency SmartBUY team. Sixteen software publishers were targeted initially for discussions based on CIO survey priorities. Thirteen interagency teams are in place to address specific publishers' offerings and essentially every agency has been involved.

A few things about this initiative are important to note:

- SmartBUY aggregates known software requirements in an effort to achieve savings and more favorable terms and conditions.
- SmartBUY is not a government wide competition for software where money is identified up-front and vendors compete for new business.
- SmartBUY does not select software and the determination of software products remains with the agencies.
- SmartBUY depends on vendors' willingness to participate in a model, which is primarily based on current and known requirements for software that agencies have already selected.
- SmartBUY recognizes that there is no one size fits all and seeks to achieve the best agreement between agencies and a software publisher.

### **Components Based Architecture White Paper**

For governments to get the most out of ICT and E-Government, they will likely have to move toward Service Component-Based Architectures. The Federal CIO Council, Architecture and Infrastructure Committee Components Subcommittee recently published a White Paper on Service Component-Based Architectures with the Federal Enterprise Architecture Program Management Office and The Industry Advisory Council in June of this year. The document complements the Service Component Reference Model of the FEA by discussing the concepts of service component-based architectures and placing them in the context of the FEA. The FEA Service Component Reference Model (SRM) is intended for use in discovering government-wide business and application service components in IT investments and assets. It is a service component-based framework

that provides — independent of business function and technology (to the extent possible) — a “leverage-able” foundation to support the re-use of business services, service components, and federated business systems. The term ‘service component’ can represent many things to many people. It can describe a complete business line such as, a business service supporting the validation of a Social Security Number, an application to support Content Management, or a capability that may be accessed through a technology or business interface. With multiple types of components available in industry and across governments, it became critical to the success of the SRM to define ‘service component’ and to clarify the level of granularity that will reside within the SRM. The document expands on the notion of component granularity to include return on investment (ROI). A Component is defined as ‘a self contained business process or service with predetermined functionality that may be exposed through a business or technology interface’. Experience with component-based architectures has shown that re-use can be successful when the efforts focus on large business level components in a collaborative environment that includes system owners, capital planners and enterprise architects. To read the document visit:

[http://www.cio.gov/documents/CIOC\\_AIC\\_Service%20Component%20Based%20Architectures%20\\_2.0\\_FINAL.pdf](http://www.cio.gov/documents/CIOC_AIC_Service%20Component%20Based%20Architectures%20_2.0_FINAL.pdf)

#### **4. Other Issues**

##### Homeland Security

The Department of Homeland Security must use ICT to support the most important of government functions while navigating the largest government reorganization and restructuring in over a half-century. Twenty-two agencies came together under DHS, each with their own systems and approaches. The task of integrating their systems has been daunting. To integrate and co-ordinate across the department’s many systems, the CIO Office of DHS has identified eight priorities. These priorities and challenges mirror those of the entire government - and on a not so much smaller scale:

- Improving information sharing within DHS and with each other and with state and local government
- Consolidating systems that support the same business processes
- IT governance across the entire enterprise
- Developing an enterprise architecture
- Improving information security and adhering to the Federal Information Security Management Act
- Creating a single, integrated network and IT infrastructure
- Using a portfolio management approach to IT
- Improve the management of human capital for IT.

##### Cybersecurity

The US Government continues to strive to make online systems and information more secure. According to the recent report on progress being made in the President’s Management Agenda, we are improving. Seventy percent of the Federal Government’s IT systems are secure, versus 26 percent three years ago. The National Strategy to Secure Cyberspace [http://www.cio.gov/documents/cyberspace\\_strategy.pdf](http://www.cio.gov/documents/cyberspace_strategy.pdf) outlined an initial framework for cybersecurity. It provides direction to the Federal Government

departments and agencies that have roles in cyberspace security. The strategic objectives of this *National Strategy to Secure Cyberspace* are to:

- Prevent cyber attacks against America's critical infrastructures;
- Reduce national vulnerability to cyber attacks; and
- Minimize damage and recovery time from cyber attacks that do occur.

Providing continuity of government requires ensuring the safety of its own cyber infrastructure and those assets required for supporting its essential missions and services. Externally, a government role in cybersecurity is warranted in cases where high transaction costs or legal barriers lead to significant co-ordination problems; cases in which governments operate in the absence of private sector forces; resolution of incentive problems that lead to under provisioning of critical shared resources; and raising awareness. The plan identified five priorities:

- A National Cyberspace Security Response System;
- A National Cyberspace Security Threat and Vulnerability Reduction Program;
- A National Cyberspace Security Awareness and Training Program;
- Securing Governments' Cyberspace;
- National Security and International Cyberspace Security Cooperation.

One of the efforts underway to improve cybersecurity is Cybercorp <http://www.sfs.opm.gov/default.asp>, also known as the Scholarship for Service Program. The program helps strengthen America's cybersecurity posture by promoting higher education courses that increase the number of information security professionals trained to protect public and private sector IT systems. This program provides scholarships that fully fund the typical costs that students pay for books, tuition and room and board while attending an approved institution of higher learning along with stipends and paid internships. In exchange for the scholarship (including the stipend), students agree to work for the Federal Government for a period equivalent to the length of the scholarship or one year, whichever is longer. The scholarships are funded through grants awarded by the National Science Foundation. Institutions of higher learning certified as Centers of Academic Excellence for Information Assurance Education (CAE/IAE) vie for funds through a grant solicitation/award process. Each year, only a handful of institutions (generally, institutions whose proposals attest to the superior nature of their information assurance programs) are provided grants.

Another tool improving the security of online information is the Security Configuration Checklists developed by the National Institute of Standards and Technology (NIST) <http://checklists.nist.gov/>. The goals of the NIST program are to facilitate the development and sharing of security configuration checklists by providing a framework for developers to submit checklists to NIST, to assist developers in making checklists that conform to common baseline levels of security, to assist developers and users by providing guidelines for making checklists better documented and more usable, to provide a managed process for the review, update, and maintenance of checklists and to provide an easy-to-use repository of checklists. Checklists are significantly more useful when they follow common security baselines. The NIST program identifies several

broad and specialized operational environments, any one of which should be common to most audiences. By identifying and describing these environments, developers can target their checklists better to the general security baselines associated with the environments. Users can select better the checklists that are most appropriate for their operating environments. The operational environments are: Small Office/Home Office, Enterprise, High Security and Custom.

#### Marketing and Outreach of E-Government

A priority for the many cross-agency E-Government initiatives as they become operational will be marketing their online services to the citizens and customers to increase take-up and determine what citizens and customers truly want and how well they are meeting citizens' expectations for service. Several of the original 24 E-Government initiatives will be emphasizing marketing and outreach during FY2004.

A major study of how Americans interact with the US Governments is an enlightening look into the preferences of our citizens. The report is titled 'How Americans Get in Touch With Government Pew Report' and was released by the Pew Internet in American Life Foundation. Among the notable findings of the report:

- E-government is an increasingly popular tool for Internet users, and its utility is primarily in getting information from and sending messages to government.
- Internet users report that e-gov improves how they carry out business with government.
- Americans like to have multiple channels available when addressing a need they have with government.
- A plurality of Americans who contact government do so via the telephone.
- Using a government web site is the second most frequent approach for contacting government.
- Focusing on preferred means for contacting government, the telephone and in-person visits outpace the Web or email as the way people would like to contact the government. DOES Web need a capital letter – I altered it in previous para??
- Some problems lend themselves to 'real time' interaction with the government – meaning the telephone and in-person visits are preferred – while other problems have greater suitability for the Web or email.
- Internet users are more likely than non-users to contact government, suggesting that the Internet helps expand information flows between governments and citizens.
- People generally have success when contacting government, and they report high rates of satisfaction with their interactions with government. Success in their interactions with government has to do with people's education and problem-solving skills, not just technological assets.
- People sometimes encounter problems when they contact government. Those who use the phone are more likely to report problems than those who use the Web.

[http://www.pewInternet.org/pdfs/PIP\\_E-Gov\\_Report\\_0504.pdf](http://www.pewInternet.org/pdfs/PIP_E-Gov_Report_0504.pdf)

### Funding

Because of tight budgets and shifting priorities, funding continues to be an issue in the US in its management of ICT. The E-Government Act authorized for \$345 million over six years for the E-Government Fund. The President's budget has requested \$100 million in appropriations for the Fund from 2002 to 2004. In that time one \$13 million has been appropriated by Congress. In FY04, the administration requested \$45 million in its proposed budget and received just \$3 million. Just \$5 million has been requested for FY05. Without a source of funds to manage cross-agency projects is made more difficult. ?? While the E-Gov Fund remains underfunded, debates about the appropriate way to fund these initiatives continue. Innovative approaches used by agencies to fund cross-government programs are often frowned upon by legislators who control the money. Funding initiatives with surplus revenues from fee-for-service programs are under scrutiny and are expressly forbidden in a bill about to go before Congress. Likewise, Congress has also forbidden some agencies from using funds to support specific cross-agency initiatives, making the 'pass the hat' approach of collecting agency contribution to cross-agency initiatives more difficult.

### IT Workforce

The US continues to work toward improving the IT Workforce. The 2003 *Clinger-Cohen Assessment Survey Results* on the IT Workforce *provides* some insight into the status of the US Government's IT Workforce. Survey results were released in May 2004. Among the conclusions made from the results

- There appears to be an aging IT workforce with few younger individuals to replace the older ones. For example, approximately 76% of the IT workforce responded that they are older than 40, while roughly 5% indicated they were under 30 years old. Although the workforce is aging, it appears that some of those closest to retirement (0 – 3 years) do not plan on retiring when they are eligible to do so.
- Based on self-assessments, competency proficiencies were rated higher than skill proficiencies. This could reflect that the workforce, in general, is equipped to handle complex jobs/activities without the need to understand how a particular technology works. It could also mean that the work is less operationally focused, so skills may not be as central to the job as competencies. It is also possible that the workforce has not been given the opportunity (through training, certification, etc.) to stay abreast of skills related to rapidly changing technologies, or the skills may be related to functions that are typically outsourced.
- Very few respondents were certified in any given area. Generally, more respondents are certified in 'holistic' areas (e.g., Project Management, CIO) versus technology-specific ones (e.g., DCG Mux, Lucent, Linux).
- Certain competencies (Capital Planning and Investment Assessment, Contracting/ Procurement and Financial Management) and skills (Federal/OMB Enterprise Architecture, Biometrics, Portal Development) that relate to high priority specialized job activities, as well as the evolving mission needs of the Federal Government, may need development.

Of course, managing E-Government is about more than just knowing technology. Project Management skills are essential to anyone responsible for implementing E-

Government. The CIO Council's Workforce and Human Capital for Information Technology (IT) Committee recently released the Federal IT Project Manager Guidance to ensure that all major projects are managed by project managers qualified in accordance with CIO Council guidance. 'The guidance consists of a matrix and accompanying instructions for project manager assessments and validation; defines levels of complexity for IT projects/systems; identifies appropriate competencies and experience; suggests education and training sources; and serves as a tool for validating IT Project Manager credentials.

2003 Clinger-Cohen Assessment Survey Results

[http://www.cio.gov/documents/CCASurvey\\_2003\\_Analysis\\_Report.PDF](http://www.cio.gov/documents/CCASurvey_2003_Analysis_Report.PDF)

Federal IT Project Manager Guidance

<http://www.cio.gov/documents/M-04-19%20IT%20PM%20Qualification%20Guidance.pdf>