

FY 2013 E-Government Act Reporting

This message provides instructions for your agency's annual submission for the report to Congress as required by the E-Government Act of 2002 (Pub. L. No. 107-347). The e-Government Act requires the Office of Management and Budget to report to Congress a summary of the information reported by agencies pursuant to Section 202(g).

The list of agencies requested to submit information for the purposes of this report is found in Attachment A. Agency responses should summarize FY 2013 activities and accomplishments. Your agency's report should include responses for all sections unless otherwise noted.

1. Highlights of Agency E-Government Activities
2. Compliance with Goals and Provisions of the eGov Act

Actions

By September 27, 2013, submit an agency point of contact responsible for coordinating your agency's submission via the FY13 E-Government Act Report Data Collection MAX Collaborative site at <https://max.omb.gov/community/x/3QDQK>.

By November 8, 2013, submit your agency's reporting requirements via the FY13 E-Government Act Report Data Collection MAX Collaborative site at <https://max.omb.gov/exercises/collect/x/EVVC3S>.

Reporting Requirements

Unless otherwise noted, agencies should provide responses for all sections. Agencies should read the FY13 E-Gov Act Implementation MAX Collect Technical Guidance to minimize submission errors. Examples from the FY12 E-Gov Act Report are also provided on the MAX Community page.

Section 1: Highlights of Agency E-Government Activities

Section 1 provides highlights of agency activities that enhance delivery of information and services to the public and agency capital planning and investment control procedures for IT.

A. Enhanced Delivery of Information and Services to the Public – Sec. 101, 3602

In no more than 750 words, describe two IT agency activities or initiatives that enhance the delivery of information and services to the public and others or making improvements in government operations. These examples should highlight how electronic government improved the effectiveness, efficiency, and quality of services provided by your agency.

The Homelessness Analytics Initiative, one of the Department's Open Government flagship initiatives, provides users with easy access to national, state, and local data about homelessness among both veterans and the general population, including risk and protective factors, support services and resources.

On June 11, 2013, in the spirit of transparency, public engagement, and collaboration, the U.S. Departments of Veterans Affairs (VA) and Housing and Urban Development (HUD), in

collaboration with the National Center on Homelessness Among Veterans (NCHAV), launched the Homelessness Analytics web application. This new interactive online tool gives communities, organizations and individuals' critical information on trends in homelessness among both veterans and the general population.

The application provides a feature-rich interface that offers easy access to data on the size of the homeless population and sub-populations as well socio-economic indicators that are related to homelessness gathered from dozens of data sources such as the American Community Survey, the Centers for Disease Control's Behavioral Risk Factor Surveillance System, the U.S Department of Housing and Urban Development's Fair Market Rents, the National Survey on Drug Use and Health, the U.S Department of Agriculture's Food and Nutrition Service Program. Users can manipulate these data by exploring maps, creating customized tables, and generating charts. They can download brief formatted reports that provide snapshots of homelessness, resources to address homelessness, and related socio-economic indicators for states and local communities. It is also possible to select indicators of interest and download these data in a spreadsheet or database to conduct an independent analysis.

The Homelessness Analytics application not only provides access to data but also includes modeling and forecasting features that enable users to simulate expected changes in homelessness given changes in an underlying community level indicator. For instance, a user can model the relationship between median rent levels and rates of homelessness to better understand how changes in housing market conditions might impact homelessness.

The ease of access to data and the key tools available in the Homelessness Analytics application make it a critical resource in achieving the key goals of the administration's Five-Year Plan to End Veteran Homelessness and Opening Doors, the Federal strategic plan to prevent and end homelessness.

The Homelessness Analytics application is publically available at:

<http://homelessnessanalytics.org/>

B. Capital Planning and Investment Control (CPIC) Procedures for IT – Sec. 101, 3602

In no more than 750 words, describe one agency IT investment, project, or activity that uses effective capital planning and investment control procedures that has achieved increased effectiveness, efficiency, or realized cost savings or cost avoidance. This example may include an agency or bureau level TechStat that reflects the overall CPIC process for your agency as a whole.

During the annual IT Budget Formulation (i.e., Select) process, HUD reviews each IT investment in terms of the validity of its business case and its resource needs, and is compared and evaluated with the other IT requests for funding in the portfolio. The proposed inclusion of new and existing IT investments is evaluated on the basis of a number of criteria, which includes risk management and measurable benefits. A specific example of how HUD selects and monitors IT investments that directly result in measurable operational benefits is the new Integrated Budget Forecasting Module (iBFM), which is an operational asset in the IT portfolio. The proposed funding for operational assets such as iBFM are weighed against the expected value, which is expressed in financial, technical and/or business terms.

During the most recent budget formulation process (BY2015), the funding justification for further enhancing iBFM functionality explained how these enhancements will allow

for the analysis of more complex funding scenarios and allow projecting costs at a more granular level (monthly per unit), which are both intended to further reduce the number of Section 8 late payments.

Further, in the review of the FY2014 budget request for iBFM, HUD took into consideration the funding justification which explains how the requested funding will reduce the risk of understating or overstating Budget Authority (BA) needs for the \$10 billion Rental Assistance portfolio, which is also intended contribute to the accuracy of data in iBFM, and therefore help reduce the number of Section 8 late payments. The IT Decisional document that includes iBFM explains how better management controls improves financial management, in particular, enabling HUD to more accurately monitor program expenditures and forecast program needs.

The investment in iBFM has directly resulted in measurable benefits to the Department. In the eCPIC system, HUD IT investment managers are required to enter their operational performance metric targets and report the actual results. The review of the results operational performance metrics is an integral part of the IT investment assessment process, and the data in eCPIC is the authoritative data source. Specifically, the operational metrics for iBFM includes a measure for decreasing the number of Section 8 late payments. The improvements in data accuracy and granularity provided by iBFM have helped HUD achieve an annual reduction of hundreds of late payments since iBFM was implemented.

C. E-Government Fund (Only Applicable to the General Services Administration) – Sec. 101, 3604

Provide a summary for FY 2013 E-Government Fund projects, and the actions taken/results achieved to date for each of the funded projects. The projects and results should reflect the information provided in the GSA Congressional notification letter regarding the E-Government Fund.

Section 2: Compliance with Goals and Provisions of the E-Gov Act

A. Performance Integration – Sec. 202(b)

In no more than 750 words, describe what performance metrics are used and tracked for IT investments and how these metrics support agency strategic goals and statutory mandates. Please discuss performance metrics that focus on customer service, agency productivity, innovative technology adoption and best practices.

If applicable, include a description of your agency’s valuation model and how it is used. Provide applicable URL(s) for performance goals related to IT.

IT Strategy Implementation Action Plan (IAP) will define a specific set of activities intended to allow HUD to achieve the goals and objectives established in the IT strategic plan. The IAP encompasses target performance measures, activity phases, subordinate actions, and time periods associated with achieving all objectives of the IT strategy. Consequently, this plan provides the basis for assessments that monitor progress of the IT strategy.

Performance will be measured against two interrelated dimensions:

- A. Performance goals identified for each objective in the strategic plan
- B. Progress made on tasks/activities listed in the IAP

Periodic assessments will compare current performance to the performance baselines and performance established in the prior assessments. At the investment level HUD tracks <https://www.itdashboard.gov/investment&buscid=720> both operational performance and other investment level metrics.

B. Accessibility – Sec. 202(c) and (d)

Verify or provide the updated URL(s) for your agency’s website for section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d).

Section 508 - <http://portal.hud.gov/hudportal/documents/huddoc?id=s508-ins.pdf>

Section 504 -

http://portal.hud.gov/hudportal/HUD?src=/program_offices/fair_housing_equal_opp/disabilities/sect504

C. Government-Public Collaboration – Sec. 202(e)

In no more than 750 words, describe one example of how your agency utilized technology to initiate government-public collaboration in the development and implementation of policies and programs.

On March 7, 2013, HUD unveiled the first housing discrimination mobile application (app) for iPhone and iPad. Developed by HUD’s Office of Fair Housing and Equal Opportunity (FHEO) and HP, the app uses the latest technology to provide the public with a quick and easy way to learn about their housing rights and to file housing discrimination complaints, and inform the housing industry about its responsibilities under the Fair Housing Act. The app will also be an

important tool to assist fair housing groups and other civil rights advocacy organizations in their efforts to help individuals pursue their housing rights and industry to educate their members on their responsibilities. Several groups indicated their intent to promote the app with their members and in communities where they work, including MomsRising, Illinois Department of Human Rights, Access Living, League of United Latin American Citizens, Asian Real Estate Association of America, National Association of Hispanic Real Estate Professionals, National Association of Real Estate Brokers, and the National Center for Lesbian Rights.

In addition to facilitating realtime¹ delivery of housing discrimination complaints to HUD, the app can be used by individuals researching their housing rights after a natural disaster, when power outages make the iPhone/iPad one of the few ways to access the Internet. The app also provides information about the fair housing complaint process, and allows the public to access HUD's toll-free discrimination hotline and link to HUD's fair housing website.

D. Credentialing – Sec. 203

In no more than 750 words, describe current activities that your agency is undertaking to achieve interoperable implementation of electronic credential authentication¹ for transactions within the Federal Government and/or with the public. For example, please describe agency use of HSPD-12 and/or digital signatures.

HUD continues to make progress on the use of the HSPD-12 card for authentication to information technology assets. HUD has issued FIPS 201 compliant personal identity verification (PIV) credentials to all of its employees and applicable contractors. HUD is beginning to integrate use of these two-factor authentication credentials with the access controls to HUD's systems as an upgrade to the more typical user name and password approach. Externally, HUD has been using electronic authentication tools to permit secure access to systems and data by customers for many years. HUD has initiated a new project to consolidate and standardize its access control tools using contemporary technologies. This project will permit HUD to fully utilize the authentication capability on the PIV cards used by employees and contractors and reduce the number of system specific user names and passwords used by customers. The project will also implement better management controls for providing and revoking access to specific systems and data.

In addition, HUD has implemented a remote access solution that utilizes the HSPD-12 credential for remote access from HUD devices. HUD has also implemented HSPD-12 authentication on all multifunctional devices to support scan to email and scan to network share functionality. A proof of concept was just completed for mandatory HSPD-12 card usage that also included the usage of the HSPD-12 card for privileged accounts. HUD is moving forward with the mandatory use of the HSPD-12 card for privileged accounts based on the success of the proof of concept.

HUD has the infrastructure to support digital signing of documents and some program areas have implemented digital signing.

E. USA.gov activities – Sec. 204 and Sec. 207(f)

Verify the URL provided for your agency on USA.gov. Please provide any additional URL(s) for your agency's activities on USA.gov, if applicable.

<http://www.usa.gov/directory/federal/department-of-housing-and-urban-development.shtml>

<http://www.usa.gov/directory/federal/office-of-fair-housing-and-equal-opportunity.shtml>

<http://www.usa.gov/directory/federal/federal-housing-administration.shtml>

http://portal.hud.gov/hudportal/HUD?src=/program_offices/fair_housing_equal_opp

http://portal.hud.gov/hudportal/HUD?src=/federal_housing_administration

F. eRulemaking – Sec. 206

This section contains descriptions of the on-line electronic regulatory submission capabilities at agencies, specifically, the usage of Regulations.gov and the Federal Docket Management System.²

Provide updated statistics relating to the FY13 on-line electronic regulatory submission capabilities at your agency (e.g., usage of Regulations.gov, Federal Docket Management System, etc.).

HUD participates in the government-wide eRulemaking initiative, Regulations.gov. The goals of this initiative are to increase public access to and participation in developing HUD regulations and other related documents that can impact the public, and to promote more efficient and effective rulemaking through public involvement. HUD believes that Regulations.gov is meeting these goals.

The eRulemaking initiative has increased meaningful public participation by enabling HUD to process large numbers of public submissions related to proposed rules in a much more efficient and timely manner. For example, HUD's proposed rule to affirmatively further Fair Housing received almost 1000 public comments. The fact that the comments are available online at Regulations.gov is an invaluable resource for the public and has greatly reduced the time required for agency personnel to analyze the issues raised in the public comments.

G. National Archives Records Administration (NARA) Recordkeeping – Sec. 207(e)

¹ Federal Chief Information Officer Memorandum, "Requirements for Accepting Externally-Issued Identity Credentials".

² OMB Memorandum 03-18, "Implementation Guidance for E-Government Act of 2002"

In no more than 750 words, describe your agency's adherence to NARA recordkeeping policies and procedures for electronic information online and other electronic records.³ Additionally, please indicate the number of electronic records that have been scheduled with NARA and any pending scheduling for electronic systems at your agency.

The Department has existing record schedules for all electronic information systems under the HUD Records Disposition Schedules and the General Record Schedules General Record Schedules as appropriate. The Office of the Chief Human Capital Officer in collaboration with the Office of the Chief Information Officer are working together to ensure that information systems, as required by the Privacy Act, have completed a required System of Records Notice (SORN) which includes an approved HUD or General Record Schedule. No new electronic record schedules have been submitted for FY 13.

Online information is copies of records that have already been established under an approved HUD or General Record schedule.

H. Freedom of Information Act (FOIA) – Sec. 207(f)(A)(ii)

Verify or provide the updated URL for your agency's primary FOIA website.

http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/foia

I. Information Resources Management (IRM) Strategic Plan – Sec. 207(f)(A)(iv)

Verify or provide the updated URL to your agency's IRM Strategic Plan. This plan should encompass activities in FY13, and should include the information required by OMB Memorandum M-13-09, and incorporate feedback provided by OMB to draft plans submitted by agencies on May 15, 2013. If your agency does not have an updated plan, please provide the URL to the most up to date plan, and indicate when an updated plan will be available.⁴

<http://hudatwork.hud.gov/po/i/stratplan/index.cfm>

J. Public Access to Electronic Information – Sec. 207(f)(B)

Verify or provide the updated URL(s) that contains your agency's customer service goals and activities that assist public users in providing improved access to agency websites and information, aid in the speed of retrieval and relevance of search results, and uses innovative technologies to improve customer service at lower costs.⁵ For example, include the URL to your agency's Customer Service Plan.

Digital Strategy:

http://portal.hud.gov/hudportal/HUD?src=/Digital_Strategy/report

Customer Service Plan:

<http://portal.hud.gov/hudportal/documents/huddoc?id=CustServPlan11292011.pdf>

Web Improvement Plan:

<http://www.usa.gov/webreform/agency-plans/hud.pdf>

Web Management and Policies:

<http://portal.hud.gov/hudportal/HUD?src=/library/bookshelf11>

Taking Steps to Streamline and Improve HUD's Web Presence:

<http://blog.hud.gov/index.php/2012/02/22/taking-steps-to-streamline-and-improve-hud%E2%80%99s-web-presence/>

K. Research and Development (R&D) – Sec. 207(g)

If your agency funds R&D activities, verify or provide the updated URL(s) for publically accessible information related to those activities, and specify whether or not each website provides the public information about federally funded R&D activities and/or the results of the Federal research.

Not Applicable. HUD does not fund research and development (R&D) activities.

L. Privacy Policy and Privacy Impact Assessments – Sec. 208(b)

In no more than 750 words, describe your agency's adherence to OMB guidance pertaining to the use of IT to collect, maintain, or disseminate identifiable information, or when new systems are procured for this purpose; in addition, describe your process for performing and updating privacy impact assessments for IT.⁶

Additionally, verify or provide the updated URL(s) for your agency's privacy policy and the website where your agency's privacy impact assessments are available.

Privacy Impact Assessments (PIAs) analyze how personally identifiable information is collected, used, maintained, and disseminated. In accordance to the E-Government Act of 2002 and OMB M-03-22, HUD requires Program Offices to prepare PIAs for new IT systems; new information collection requests; and existing systems when significant modifications involving personal information on members on the public or where significant system changes create a new privacy risk. PIAs are living documents that must be updated as the HUD program and system are changed or updated. The PIAs analyze and describe the answers to the following questions:

1. What information is to be collected?
2. Why the information is being collected?
3. What is the intended use of the information?
4. With whom will the information be shared?
5. What opportunities do individuals have to decline or consent to provide information?
6. How will the information be secured?

Prior to drafting a PIA, Program Offices must contact the Privacy Office to discuss appropriate steps, and to coordinate E-Government Act efforts. The Program Office submits the draft PIA document to the Privacy Office which reviews all PIAs and provides feedback to the Program Office. Once PIAs are signed by the Privacy Officer, the Privacy Office publishes the PIA for access by the general public per OMB requirements at the following website:

https://portal.hud.gov/hudportal/HUD?src=/program_offices/cio/privacy/pia/piachrt

Approved PIA's that may contain sensitive information may be exempt from the publication requirement at the discretion of HUD's Privacy Officer. The results of the PIA will be recorded in the PII Inventory for use later in meeting OMB, or internal HUD, reporting requirements.

M. Governmentwide IT Workforce and Training Policies (Only Applicable to Office of Personnel Management) – Sec. 209(b)(1) and (b)(3)

³ NARA Bulletin 2006-02

⁴ OMB Memorandum 13-09, “Fiscal Year 2013 PortfolioStat Guidance: Strengthening Federal IT Portfolio Management.”

⁵ Agencies may include activities that support Executive Order 13571: Streamlining Service Delivery and Improving Customer Service and Digital Government Strategy.

⁶ OMB Memorandum 03-22, “OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002”.

The E-Government Act requires OPM to analyze the personnel needs of the government related to IT, and issue policies to promote development of performance standards for training and uniform implementation by agencies.

In no more than 750 words, OPM is requested to provide a summary of all government activities related to IT workforce policies, evaluation, training, and competency assessments in accordance with this section.

N. Agency IT Training Programs – Sec. 209(b)(2)

The E-Gov Act calls for agencies to establish and operate information technology training programs. In no more than 750 words, describe your agency's IT training program, privacy training program, cross-agency development programs, and competencies reviews for IT workforce.

IT training complies with the guidance of the Federal Acquisition Certification for Program/Project Managers (FAC-P/PM) as set forth by the Office of Federal Procurement Policy. This policy sets the requirements for training in the following areas: acquisition management, government-specific, program/project management, earned value management, business/finance, life cycle cost analysis, and leadership development and communications management at the entry, mid and senior levels. OCIO provided training in these areas to its workforce using a contract vehicle.

Privacy training focused on the importance of protecting employee and citizen data is provided to the Department. This training includes the annual mandatory IT Security online training which includes privacy protection training, and "as needed" training for the Department and/or Privacy Liaison Officers.

HUD's Security Awareness Program consists of several components designed to protect the confidentiality, integrity, and availability of HUD's information systems and the information they contain. These components consist of mandatory annual security awareness training, weekly security awareness tips disseminated to all HUD employees, and security alerts as circumstances warrant.

HUD's Computer Self-Help Desk (CSHD) is a one-stop website providing tricks and tips on Microsoft Office applications such as Word, Excel and PowerPoint to that is available to all employees. The OCIO's Virtual Training site also offers HUD employees additional Microsoft training opportunities via LiveMeeting or classroom sessions. New classes are added monthly.

The HUD Virtual University (HVU) offers HUD employees access to over 2,000 online courses from the Skill Soft courseware libraries as well as custom courses developed by HUD program organizations.

O. Disaster Preparedness (Only Applicable to the Department of Homeland Security) – Sec. 214

DHS is requested to provide a summary of how IT is used in coordinating and facilitating information on disaster preparedness, response, and recovery, while ensuring the availability of such information across multiple access channels.

P. Geospatial (Only Applicable to the Department of Interior) – Sec. 216

DOI is requested to provide a summary of activities on common protocols for geographic information systems, initiatives that reduce redundant data collection and

information, and efforts that increase collaboration and use of standards for geographic information. Include an overview of the Geospatial Platform.

Your agency will have the opportunity to review the draft E-Government Act report to Congress prior to final submission.

If you have any questions, please [contact egov@omb.eop.gov](mailto:egov@omb.eop.gov) with subject line "FY13 E-Gov Act Report (YOUR AGENCY NAME)."

Attachment A: Agencies Requested to Submit E-Government Act Information

Department of Agriculture
Department of Commerce
Department of Defense
Department of Education
Department of Energy
Department of Health and Human Services
Department of Homeland Security
Department of Housing and Urban Development
Department of Justice
Department of Labor
Department of State
Department of the Interior
Department of the Treasury
Department of Transportation
Department of Veterans Affairs
Environmental Protection Agency
General Services Administration
National Aeronautics and Space Administration
National Archives and Records Administration
National Science Foundation
Nuclear Regulatory Commission
Office of Personnel Management
Office of the Director of National Intelligence
Small Business Administration
Social Security Administration
U.S. Agency for International Development