



U.S. Department of Labor

E-GOVERNMENT STRATEGIC PLAN

Transforming into a Digital Department
February 2003



<http://www.dol.gov>



A CALL TO ACTION...



Under the leadership of President Bush's "Expanding E-Government" Management Agenda and through the outstanding efforts of DOL information technology professionals, we are establishing a strong record of technology success. Before we know it, our transformation will be complete and DOL will truly be a "Digital Department!"

Elaine L. Chao

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Secretary of Labor

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EXECUTIVE SUMMARY

A Transformed Department of Labor

The Department of Labor (DOL) is transforming the way it serves its customers. This *E-Government Strategic Plan* builds on the initial release from May 2001 and presents the Department's *E-Government Framework*, a comprehensive approach to E-Government that articulates the partnership between the Department's mission specialists and information technologists to improve organizational performance and customer service delivery. Through the *Framework* DOL:

- ◆ Focuses on the customer – who they are, what they want, and how to serve them better.
- ◆ Looks beyond traditional organizational boundaries by asking which other agencies are serving the same customer and how the Department can collaborate with them to provide improved services. To do this, DOL will leverage the Federal Enterprise Architecture and take a functional approach to becoming a “digital department” and improving service delivery.
- ◆ Incorporates E-Government principles and operating procedures into everything the Department does. From Department executive training to front-line user support, from policy development to execution, DOL is focusing on streamlining and improving its processes from the customer's perspective.
- ◆ Enhances DOL's ability to implement the President's Management Agenda (PMA), while also improving the ability to achieve the Department's mission.
- ◆ Focuses on performance and bases Department success on DOL's contribution to increasing customer value.

The E-Government Partnership

The Department's *E-Government Framework* provides a foundation for the essential partnership between those who know the Department's customers best and those who know information technology (IT) best. The *Framework* consists of the following four components:

Business Focus

- Customer Relationship Management
- Organizational Capability

IT Focus

- Enterprise Architecture
- Security and Privacy

The *Framework* guides DOL's ability to (1) build the customer relationship and improve customer value; (2) establish E-Government management structures and manage E-Government portfolios; (3) ensure that technology is managed in the way that best serves the mission, goals, and objectives of the Department; and (4) ensure that transactions with the Department are secure and that appropriate privacy protections are in place.

By identifying the primary components of a Department-wide E-Government program, and establishing a comprehensive E-Government management capability, the Department is institutionalizing improved service delivery. As a result, E-Government at the Department of Labor is not just a collection of independent projects, it is a comprehensive, integrated way of conducting business. This partnership between Department executives and IT specialists ensures that technology enables the Department to better serve its customers. Together, Department of Labor executives and IT specialists are expanding this partnership to other agencies serving common customer groups to achieve broader Federal E-Government goals.

This plan identifies the activities that the Department will pursue in the near term to support its E-Government strategy. These actions

are categorized according to the four components of *DOL's E-Government Framework*:

- Customer Relationship Management
- Organizational Capability
- Enterprise Architecture
- Security and Privacy

These activities are coordinated by the Department's E-Government Strategy Group and investment review boards.

“E-Government is not about putting thousands of government forms or reams of information online. Rather, it is about government making better use of technology to better serve citizens and improve government efficiency, cutting government's time to make decisions from weeks or months to hours or days.”

- The President's
Management Agenda

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INTRODUCTION: A CUSTOMER-CENTRIC STRATEGY

A small business owner in Connecticut needs advice about retirement savings options; a Gulf War veteran in Oregon would like to know about Federal job preferences for veterans; a young man in New York seeks an opportunity for a new beginning and help in finding gainful employment; a doctor treating a patient in Michigan provides the patient with a form to send to his insurance company to cover the cost of the procedure; a grape grower in California has a question about migrant worker housing and transportation requirements; an employer in Kansas wants to find out about potential hazards at her work site to improve occupational safety and health management systems; a new father in Maryland wants to know if he is eligible for family leave.

All of these people rely on the Department of Labor (DOL or The Department) to help them meet a specific need or accomplish a particular objective: they are among DOL's customers. This *E-Government Strategic Plan* (the Plan) identifies the strategies the Department will employ to become a "digital department" to better serve its customers. The plan shows how the Department will take advantage of the rapidly changing technological environment to improve customer service, manage the customer relationship, and adapt to future changes brought forth by the digital economy. The Performance Institute has offered the following definition of E-Government:

"Citizen-centered E-Government initiatives strategically employ information technology to provide government products or services to intended users resulting in enhanced value. Enhanced value is characterized by improved cost efficiencies, enhanced quality and availability of product and/or service, improved timeliness, better accessibility, and improved mission achievement."¹

First issued in May 2001, the Department of Labor *E-Government Strategic Plan* has been updated to refine the Department's E-Government strategy and to ensure ongoing alignment with broader Federal government approaches. The Plan will

enable the Department to continue to successfully meet the needs of its customers. Appendix A provides an overview of key DOL E-Government initiatives and the customers they serve.

¹ "Creating a Performance-Based Electronic Government," The Performance Institute, October 30, 2002, p. 14.

THE E-GOVERNMENT MANDATE

The Bush Administration has taken a leadership role in transforming the Federal government through the application of information technologies. The Department of Labor's E-Government Strategic Plan is designed to support and execute these efforts.

THE PRESIDENT'S MANAGEMENT AGENDA

In August 2001, the President's Management Council released the President's Management Agenda (PMA), identifying the administration's priorities for improving government performance. The PMA identifies five government-wide initiatives:

- ◆ Strategic Management of Human Capital
- ◆ Competitive Sourcing
- ◆ Improved Financial Performance
- ◆ Expanded Electronic Government
- ◆ Budget and Performance Integration

The Office of Management and Budget (OMB) reports twice a year to the President on the progress that 26 departments and major agencies have made on the management agenda and uses a three-tier grading system: green for passing, yellow for mixed results, and red for failing. The first PMA scorecard, issued in February 2002, indicated that DOL had demonstrated the greatest progress among the cabinet departments in implementing the PMA. E-Government Strategic Plan version 2.0 identifies the approach the Department will take to improving government performance, not only in the Expanded Electronic Government initiative, but also in using E-Government as a key enabler for the President's other reform initiatives. Table 1 summarizes the ways in which DOL's E-Government efforts support the PMA.

Table 1. E-Government Facilitates Progress on All PMA Initiatives

Initiative	Contribution of DOL E-Government Activities to Initiative
Strategic Management of Human Capital	<ul style="list-style-type: none"> • Completing two E-Government workforce planning assessments that described anticipated gaps in key competencies and personnel over the next 3–5 years • Incorporating E-Government principles into curriculum for the new Master’s in Business Administration (MBA) Outreach Program and the Senior Executive Service (SES) Candidate Development Program • Providing security and privacy, information technology (IT) project management, enterprise architecture, and burden reduction training to DOL staff
Budget and Performance Integration	<ul style="list-style-type: none"> • Using the Information Technology Investment Portfolio System (I-TIPS) to improve oversight of initiative performance and to build IT portfolios around 4 common customer groups and the 14 appropriate subfunctions in the Federal Enterprise Architecture • Partnering with budget and planning offices to better articulate the role that IT plays in the Department’s strategic and annual planning and reporting processes under the Government Performance and Results Act (GPRA) • Participating in OMB’s Program Assessment Rating Tool program and using the results to identify how IT can be better used to improve service to citizens
Improved Financial Management	<ul style="list-style-type: none"> • Leveraging the IT capital planning and investment management process, resulting in \$120 million in cost avoidance savings for the Department • Improving financial management practices and cutting costs through use of DOL E-Government projects, such as eGrants, eProcurement, and the Department of Labor Accounting and Related System (DOLAR\$)
Competitive Sourcing	<ul style="list-style-type: none"> • Creating opportunities to leverage vendor partnerships through new E-Government projects, such as GovBenefits.gov and DisabilityInfo.gov

“Effective implementation of E-Government is important in making Government more responsive and cost-effective. Our success depends on agencies working as a team across traditional boundaries to better serve the American people, focusing on citizens rather than individual agency needs.

— President George W. Bush

THE DEPARTMENT’S PMA ACCOMPLISHMENTS

The Department has made significant progress in implementing the PMA. Some highlights include—

- ◆ Creating a Management Review Board (MRB) to consider Department-wide, cross-cutting management issues
- ◆ Implementing an MBA Outreach Program to recruit MBA graduates and establishing an SES Candidate Development Program
- ◆ Articulating a clear business plan setting forth the value of one DOL E-Government initiative,

which enabled DOL to obtain cooperation and investment from 11 participating agencies

- ◆ Moving away from output-oriented goals toward outcome-oriented goals, such as determining actual reductions in workplace discrimination
- ◆ Implementing a new performance management system that assesses managers based on managerial competencies and achievement of results.

In addition, the Department has recently been honored with the Overall Performance in E-Government Award from The Performance Institute, a private think tank that serves as the nation’s leading authority and repository on performance-based management practices for government agencies. The Performance Institute selected DOL as the Federal agency with the best performance on E-Government issues and cited the Department’s work on GovBenefits.gov and the Public Key Infrastructure (PKI) project as best practices.

The Department’s Deputy Secretary, D. Cameron Findlay, serves as the chair of the President’s Management Council’s (PMC) Committee on E-Government. The Department has also implemented two Web sites to provide information to the public: GovBenefits.gov and DisabilityInfo.gov. More information on these two initiatives is provided below. Other Department accomplishments related to the PMA are presented in later sections of the Plan.

The Department received the following scores in the November 15, 2002, PMA evaluation (Table 2). Criteria for E-Government success focus on the strategic value of IT investments, IT program performance, and general implementation of E-Government and the Government Paperwork Elimination Act (GPEA).

“Under the leadership of President Bush’s “Expanding E-Government” Management Agenda and through the outstanding efforts of DOL information technology professionals, we are establishing a strong record of technology success. Before we know it, our transformation will be complete and DOL will truly be a “Digital Department!”

– Elaine L. Chao
Secretary of Labor

FEDERAL E-GOVERNMENT STRATEGY: SIMPLIFIED DELIVERY OF SERVICES TO CITIZENS

In July 2001, the Office of Management and Budget (OMB) established an E-Government task force to identify priority actions that achieve strategic improvements in government, and began government’s transformation to focus on citizen needs. The task force, consisting of 81 members from 46 agencies and bureaus, conducted an intensive analysis to identify priority initiatives targeted at improving the quality of services to citizens, businesses, governments, and government employees, as well as the overall effectiveness and efficiency of the Federal government. The task force identified 24 Presidential Priority Initiatives (PPI) to significantly improve customer service in an 18- to 24-month period. These initiatives are designed

Table 2. DOL Rating on PMA Progress		
PMA Category	Current Status	Progress
E-Government	Yellow	Green
Human Capital	Yellow	Green
Budget and Performance Integration	Yellow	Green
Financial Management	Yellow	Green
Competitive Sourcing	Red	Yellow

to provide service to citizens in minutes or hours compared with the current standards of days or weeks. They also are designed to produce several billion dollars in savings by reducing operating inefficiencies, redundant spending, and excessive paperwork. Appendix B summarizes these initiatives.

These efforts also resulted in the Federal E-Government Strategy issued by OMB in February 2002. The E-Government strategy emphasizes the need to reform government operations according to three principles:

- ◆ **Citizen-centered**, not bureaucracy-centered
- ◆ **Results-oriented**, and
- ◆ **Market-based**, actively promoting innovation.²

The Administration is committed to advancing the E-Government strategy by supporting multi-agency projects that improve citizen services and yield performance gains. The key objectives of the strategy are as follows:

- ◆ Recommend highest payoff cross-agency initiatives that can be rapidly developed
- ◆ Identify key barriers to the Federal government's becoming a citizen-centered E-Government and implement the actions necessary to overcome these barriers
- ◆ Develop a technology framework that provides integration of government services and information

FEDERAL ENTERPRISE ARCHITECTURE

To further the E-Government strategy, the Administration established the Federal Enterprise Architecture Program Management Office (FEA-PMO) to address the lack of a Federal enterprise architecture. The FEA-PMO collected and analyzed high-level business architecture information across the Federal government to capture and build on the architecture work of the E-Government Task Force. Version 1.0 of the Business Reference Model (BRM) consists of 35 lines of business and 137 sub-functions. The BRM provides a standardized framework for

understanding the government's operations and facilitates identification of opportunities to collaborate across agency boundaries. Ultimately, the following additional Federal Enterprise Architecture (FEA) reference models will complement the BRM:

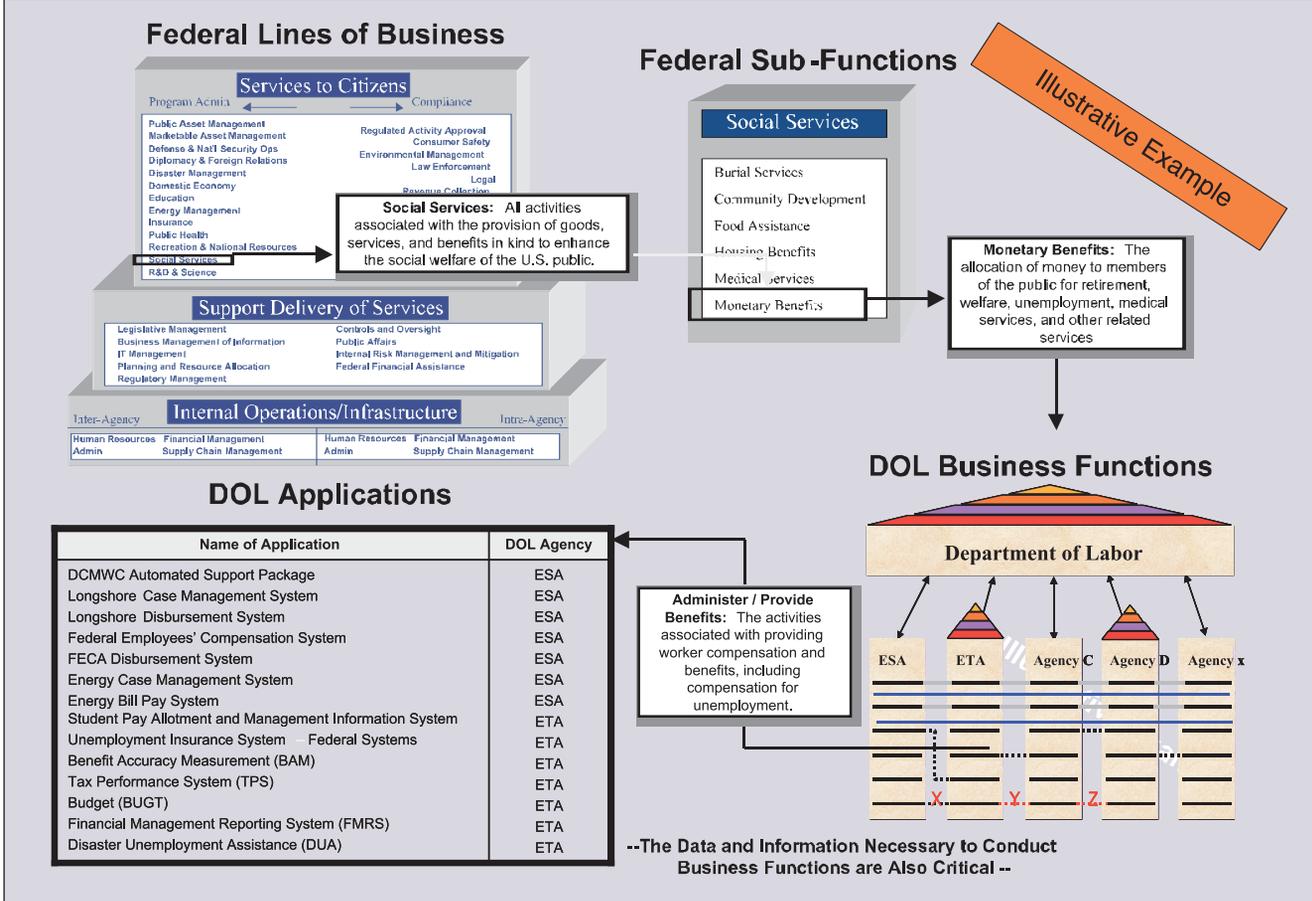
- ◆ Performance Reference Model - identifying common performance measurements
- ◆ Service Component Reference Model - identifying capabilities and functionality
- ◆ Technical Reference Model - identifying IT services and standards
- ◆ Data Reference Model - identifying common data definitions.

Together, these reference models will serve as a unifying set of standards for achieving consistent, Federal government-wide progress by using technology to improve performance. DOL will continue to align with the FEA reference model framework as other reference models are released. Appendix C provides an overview of the BRM.

Figure 1 illustrates the process of mapping the FEA BRM to functions and applications within DOL. The starting point of the example is the line of business called social services from the FEA BRM (top left of diagram). This is mapped to Federal sub-functions, in this case, to monetary benefits. In the next step, the Federal sub-function of monetary benefits is linked to the DOL business function of administering and providing benefits. Finally, the DOL business function of administering and providing benefits is linked to specific DOL applications that support that function. Going through this mapping process enables DOL to link specific IT investments to the FEA.

² Implementing the President's Management Agenda for E-Government, E-Government Strategy, Simplified Delivery of Services to Citizens, Office of Management and Budget, February 27, 2002, p. 3.

Figure 1. Mapping the FEA BRM to DOL Business Functions and Applications



E-GOVERNMENT ACT OF 2002

In December 2002, the President signed the E-Government Act of 2002 into law (P.L. 107-347). The legislation formalizes a structure to support E-Government efforts across the Federal government. Highlights of the legislation include—

- ◆ Establishment of an Office of Electronic Government within OMB with an administrator appointed by the President
- ◆ Establishment of the CIO Council, an inter-agency forum for sharing IT best practices
- ◆ Establishment an E-Government fund of \$345 million for Fiscal Years (FY) 2003 through 2006
- ◆ Authorization for the General Services Administration (GSA) to develop a framework for electronic signatures

- ◆ Authorization of an employee exchange program between public and private sector organizations.

The E-Government Act of 2002 supports DOL's efforts to move forward with its E-Government activities.

DEPARTMENT OF LABOR E-GOVERNMENT SUCCESSES

GovBenefits.gov and DisabilityInfo.gov are two Department E-Government projects that have achieved success during the past year. These two projects are described below. Department E-Government projects in addition to these are described in Appendix A.

GOVBENEFITS.GOV

The Department is the managing partner of GovBenefits.gov (Figure 2), one of the 24 Presidential Priority Initiatives. GovBenefits.gov, a partnership of many Federal agencies and organizations, is designed to provide improved, personalized access to government assistance programs. It links the citizen to applicable government benefits programs via a Web-based online screening tool that does not require the citizen to provide personally identifiable information.

GovBenefits.gov was initially released in April 2002; it is now steadily expanding its list of associated programs. In the future, GovBenefits.gov will provide targeted consolidation of online application for benefits and customer relationship management. In the Fall of 2002, GovBenefits.gov received Government Executive magazine's 2002 Grace Hopper Government Technology Leadership Award.



DISABILITYINFO.GOV

The Department has also launched DisabilityInfo.gov (Figure 3), a Web portal that collects all Federal government information for people with disabilities in one place.

DisabilityInfo.gov is the product of a collaborative effort between several Federal agencies containing Web links that direct customers to information on civil rights, education, employment, housing, health care, technology, and transportation, among other subjects; the site is designed to be a one-stop source of government information relevant to people with disabilities, their families, employers, and service providers.

This site was developed in response to an executive memorandum issued by President Bush in August 2002, directing Federal agencies to develop a Web site for people with disabilities within 60 days.



DEPARTMENT OF LABOR E-GOVERNMENT STRATEGY

“We are proud that GovBenefits.gov has been recognized for its citizen-centric approach and for its advanced technology. Mostly, we are pleased that the Labor Department’s E-Government efforts in support of the President’s Management Agenda are being recognized.”

—Patrick Pizzella

DOL Chief Information Officer and

Assistant Secretary for Administration and Management

DOL has established the following E-Government vision, strategy, and success measures to complement the overall Federal strategy. This approach not only sets the Department’s

E-Government direction in concert with the Federal effort, but also ensures that the Department institutionalizes its management frameworks to bring the strategy to fruition.

DEPARTMENT OF LABOR E-GOVERNMENT VISION STATEMENT

The Department will provide E-Government service that is citizen driven, userfriendly, results-oriented, universally accessible, collaborative, innovative, cost-effective, and secure.

DEPARTMENT OF LABOR E-GOVERNMENT STRATEGY

The Department will pursue an enterprisewide approach to E-Government that integrates customer relationship management, organizational capabilities, enterprise architecture, and security and privacy components in a comprehensive *E-Government framework* designed to improve the Department’s service delivery to its customers.

DEPARTMENT OF LABOR E-GOVERNMENT SUCCESS MEASURES

- ◆ We are customer-centric, not organization-centric. We communicate with customers and know who they are and what they want.
- ◆ We seek transformation opportunities through innovation rather than automation. We simplify our business processes and reduce costs through integrating or eliminating redundant systems, thereby making it easier for our customers to do business with the Department.
- ◆ We integrate information technology investment decisions with business and program requirements, processes, and goals.
- ◆ We collect information from our customers only once, and reuse it appropriately.
- ◆ We provide a secure environment, with appropriate privacy protections, for our customers to conduct transactions with the Department.
- ◆ We leverage partnerships with customers, governments, and the private sector to improve the delivery of services to customers.

DOL has established the following E-Government vision, strategy, and success measures to complement the overall Federal strategy. This approach not only sets the Department's E-Government direction in concert with the Federal effort, but also ensures that the Department institutionalizes its management frameworks to bring the strategy to fruition.

DEPARTMENT OF LABOR IT STRATEGY

The Department is pursuing an IT strategy designed to support this *E-Government Strategic Plan* and other Department planning and guidance documents. A key feature of the IT strategy is the integration of DOL's enterprise architecture and IT capital planning efforts with its Government Performance and Results Act (GPRA) efforts to ensure a tight alignment between information technologies and business functions and processes. Appendix D provides a brief overview of the Department's IT strategy.

THE DEPARTMENT'S E-GOVERNMENT FRAMEWORK

The primary components of the Department's *E-Government Framework* (the Framework) are customer relationship management, organizational capability, enterprise architecture, and security and privacy.

◆ **Customer Relationship Management (CRM).**

CRM comprises methodologies, technologies, and capabilities that help the Department identify customers, determine what customers want, and learn how to meet and continuously improve customer service. CRM requires developing a dialogue with customers. Advanced CRM is characterized by personalized services that are timely and consistently excellent. Customer relationship management helps DOL prioritize E-Government projects.

◆ **Organizational Capability.** This component consists of the policies, plans, people, and management processes required to develop, implement, and sustain a high level of digital services in support of the Department's mission. This category includes strategic plans, investment review boards, IT capital planning processes, systems development methodologies,

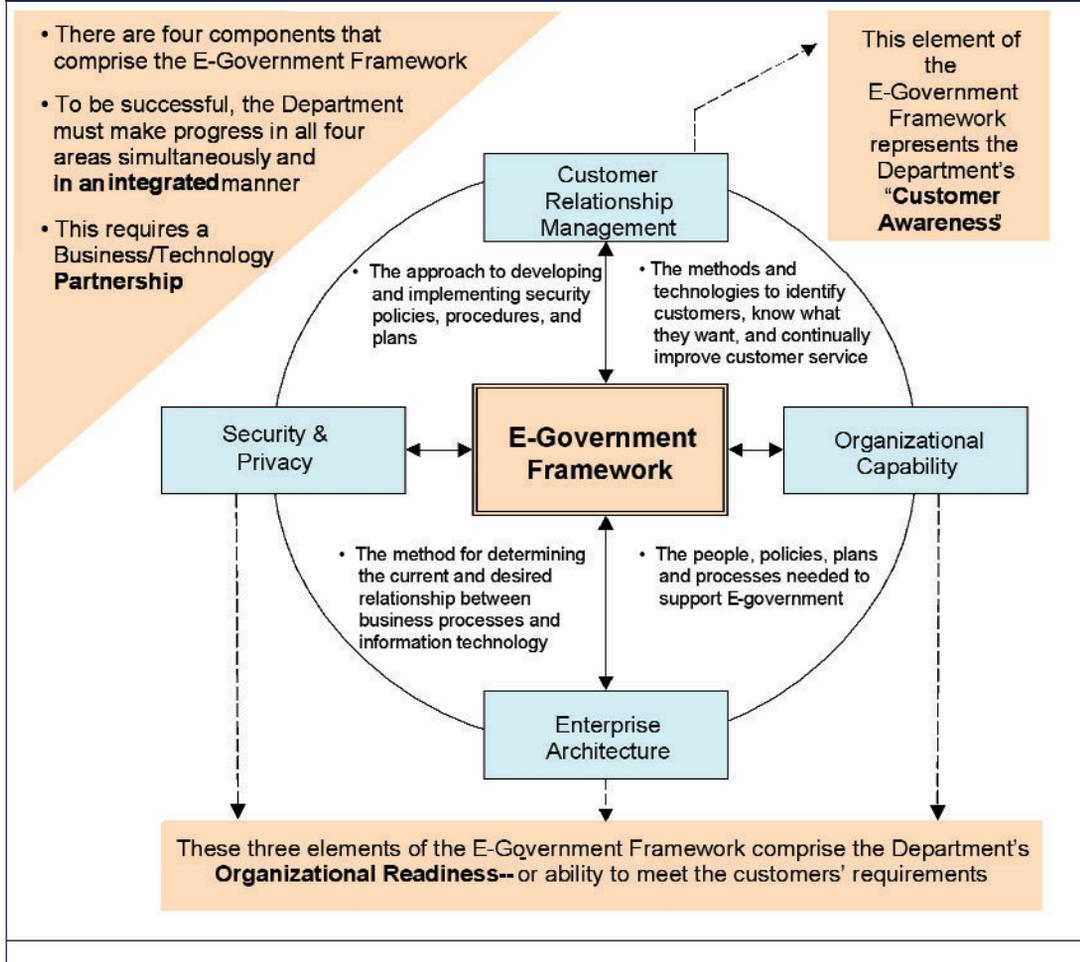
workforce plans, and training. Organizational capability helps DOL select E-Government projects and ensure successful management of the projects and delivery of results.

◆ **Enterprise Architecture.** DOL's enterprise architecture includes the explicit description and documentation of the current and the desired relationships among business and management processes and information technology. The enterprise architecture describes the current architecture and the target architecture. It also includes the rules and standards for optimizing and maintaining IT investments and portfolios. DOL's enterprise architecture helps the Department identify E-Government opportunities.

◆ **Security and Privacy.** This component of the Framework provides an integrated planning framework and a unified approach to developing and implementing security policies, procedures, and plans, including the analysis of threats and vulnerabilities, risk mitigation, and risk management. Security and privacy policies help create a secure and trusted environment for E-Government transactions.

Figure 4 depicts the components of the Department's *E-Government Framework*. As shown in this figure, the organizational capability, enterprise architecture, and security and privacy components, taken together, represent the Department's organizational readiness to meet customer service requirements. The CRM component is an indicator of the Department's customer awareness. The Department will address these components in an integrated manner. In addition, it will chart a forward course that matches organizational readiness to customer requirements.

Figure 4. DOL E-Government Framework



CUSTOMER RELATIONSHIP MANAGEMENT

This section provides an overview of the Department’s approach to CRM in support of the *E-Government Framework*. CRM focuses on who the customers are and how DOL will better serve them. It addresses building the customer relationship, improving customer value, measuring progress in customer support service, and identifying and implementing key CRM initiatives. Although the Department has always made an effort to improve customer value, the E-Government Strategic Plan takes these customer support efforts to a higher level by addressing service within the *E-Government Framework*. The Plan expands customer support from an agency-specific effort to a customer-centric mission.

BUILDING THE CUSTOMER RELATIONSHIP

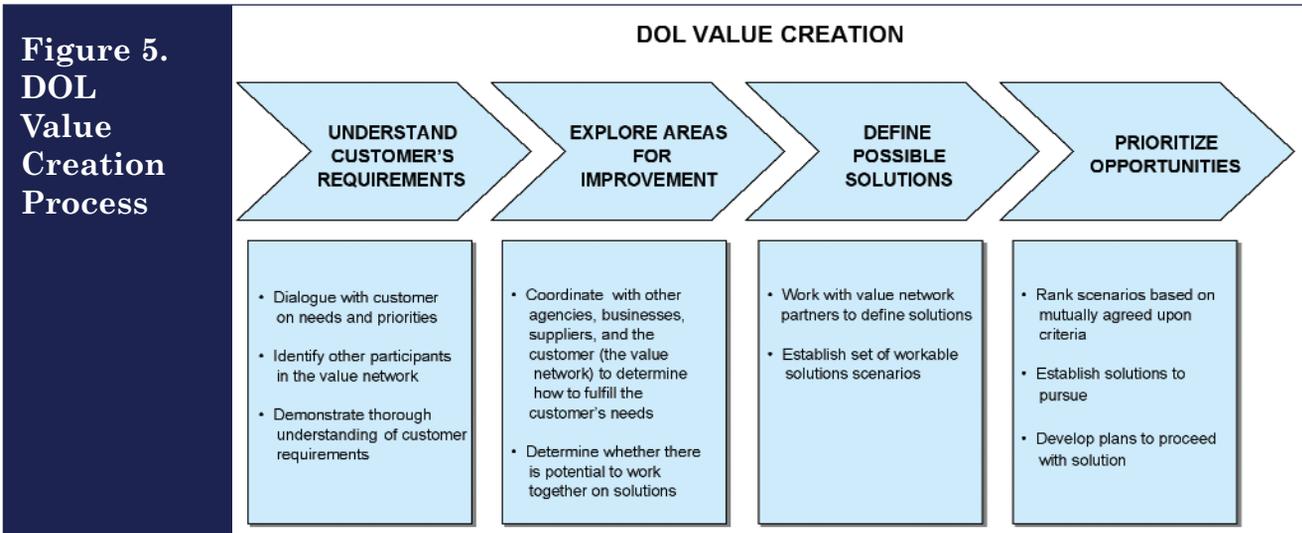
Being customer-centric means creating an environment for understanding and improving the customer relationship. To facilitate this improved relationship, the Department has categorized customers to help it identify opportunities for common approaches and to enable it to leverage economies of scale. On the basis of the Department’s GPEA Progress Report and GPRA documentation, DOL associated its services with the following major customer groups: citizens, businesses, other governments, and employees. Appendix E provides an overview of departmental services by customer type. DOL’s categorization of its customers has provided the basis for further analysis and segmentation to target and improve customer service. Analysis is based on customers and services, not on the agencies that provide the

services; it, therefore, helps integrate DOL’s efforts into the broader Federal approaches to customer identification and service improvement.

IMPROVING CUSTOMER VALUE

The set of activities an organization performs to create and distribute its goods and services—including direct activities, such as procurement and production, and indirect activities, such as human resources and finance—is known as the “value chain.” In the private sector, companies achieve competitive advantage by linking the activities in the value chain less expensively or more expertly than do competitors. In the public sector, the concept of the value chain is most often applied to improving customer service.

With the advent of the Internet, the concept of the *value chain* is coming to be superseded by that of the *value network*. For example, the focus on G2C (Government to Citizen) services in today’s customer-driven value chain is evolving into a focus on C2B2G2B2C (Citizen to Business to Government to Business to Citizen) in the new value network. To best serve the Department’s customers today, DOL needs to redefine its relationships with other agencies, businesses, and suppliers to add the greatest possible value—from the customer’s perspective. In this way, DOL becomes not just a service provider but also a participant in value creation for the customer. The key to value creation is working with customers to understand their requirements, then networking with other transaction partners to deliver superior service. Figure 5 provides an overview of the value creation process.



As shown in Figure 5, there are four basic steps in the value creation process: (1) understanding customer requirements, (2) exploring areas for improvement, (3) defining possible solutions, and (4) prioritizing opportunities. This process demands that the Department, its customers, and other organizations serving the same customers work together to identify service requirements and approaches. To achieve this critical cooperation, the Department must establish an improved dialogue with its customers and develop partnerships with other entities in the value network. This integrated effort will result in plans to proceed with identified solutions and, ultimately, sustained value for DOL customers.

These activities will lead to the development of customer service plans that identify DOL's customers, how they interact with the Department, the nature of the customer relationship, who in the Department is responsible for managing the relationship, the plan for managing data and information, customer satisfaction levels, and plans for improving customer service. These customer service plans will provide a basis for DOL's future technology investment decisions.

MEASURING CUSTOMER SUPPORT SERVICE PERFORMANCE

The Department is committed to results-oriented government—government that is focused on performance rather than on process. From the E-Government perspective, this means engaging the customer in the determination of how well the Department has performed.

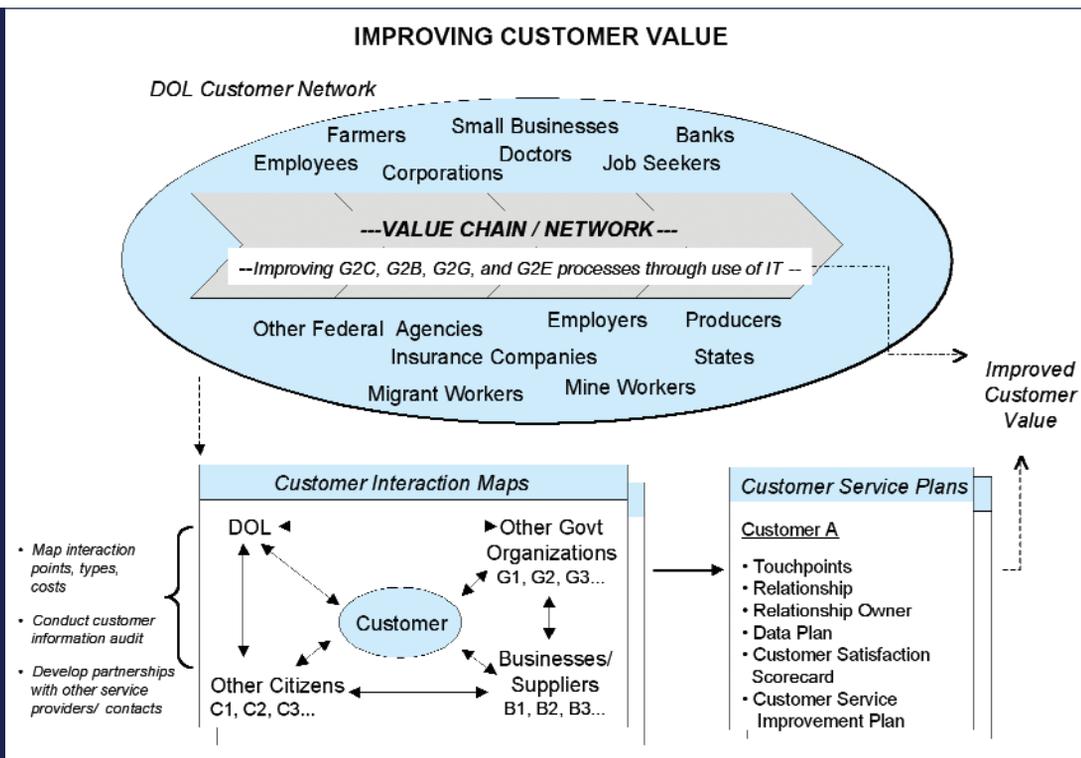
Figure 6 presents the approach the Department will use to improve customer value. Based on the categorization of customers and the value creation process identified above, the Department will—

- ◆ Conduct a customer interaction audit by mapping all customer interaction points and types
- ◆ Conduct a customer information audit to determine what information customers require and to improve the Department's ability to deliver it.

To the greatest extent possible, DOL will apply private sector customer service principles, including—

- ◆ Online surveying of customers to determine the kind and quality of services they want and their level of satisfaction with existing services

Figure 6.
Improving Customer Value



- ◆ Posting service standards on the DOL Web site and measuring results against these standards, such as the Department's annual performance plans and report
- ◆ Benchmarking customer service performance against the best in business
- ◆ Surveying front-line employees on barriers to, and ideas for, matching the best in business
- ◆ Providing customers with choices in both sources of service and means of delivery
- ◆ Making information, services, and complaint systems easily accessible
- ◆ Providing means of addressing customer complaints.

As the Federal E-Government strategy unfolds, the Department will work with other agencies to link stakeholders to the lines of businesses and subfunctions in the Federal government's BRM. This will enable DOL to support the broader goals of improving customer service beyond the Department's organizational boundaries.

To a significant degree, measurement of customer support service performance will continue to be based on voluntary customer provision of satisfaction metrics information. Through this process, the Department will continue to evaluate customer satisfaction and expectations, customer perceptions of the quality of services and the value they receive, and information related to customer retention, in order to measure and improve DOL's customer service.

IDENTIFYING AND IMPLEMENTING KEY CUSTOMER RELATIONSHIP MANAGEMENT INITIATIVES

The following paragraphs highlight key CRM-related activities undertaken by the Department. These initiatives support different customer groups, including citizens, businesses, and other governments, and are representative of DOL's ongoing CRM efforts. In addition, they demonstrate how the Department is implementing the initiatives of the PMA.

Burden Reduction

DOL has established the goal of making it easier for the public to do business with the Department. To accomplish this, DOL is developing a multifaceted approach for information collection management. This approach will –

- ◆ Minimize the burden on respondents and the cost of data collection for Departmental agencies by assessing the need, use, and value of new regulations and existing regulations
- ◆ Help customers comply with necessary regulations by presenting DOL rules in plain English, with step-by-step procedures for compliance
- ◆ Change the culture of regulatory enforcement by using methodologies, technologies, and capabilities that help the Department identify customers, determine what customers want, and determine how to meet and continually improve customer service
- ◆ Provide an enterprise-wide framework for collecting, accessing, and manipulating data in a shared environment across diverse functions, owners, and scales.

As a first step, the Department has conducted an analysis of reengineering the current manual process of managing information collection and the information collection budget. The Department is using its GPEA compliance activities to inform this process. Subsequent steps will involve identifying business process improvement opportunities; developing a blueprint of new business models; and designing, developing, and implementing the new streamlined operations.

Government Paperwork Elimination Act Implementation

The Department continues to implement a GPEA compliance strategy to improve customer service delivery, support the Department's E-Government strategy, meet near-term reporting requirements, and ensure integration into major management processes. For the vast majority of its transactions, the Department is on track to meet the GPEA compliance deadline of October 2003. The Department is using categorization of GPEA

transactions by customer group to prioritize its CRM efforts. In addition, as part of its GPEA implementation effort, DOL is now assessing the degree to which technology can be leveraged, in current and new customer interactions, to reduce burden on the public.

DOL Internet/Intranet Web Services

The Department's Web sites are playing an increasingly important role in communication between DOL and both its customers and its employees. The Department is now reorganizing the management of all DOL Web sites to improve dissemination of information. This reorganization will affect all DOL Web sites but will focus primarily on the central Internet (www.dol.gov) and intranet sites. The major goals of the management reorganization include enhancing presentation and consistency of material to improve customer access to information, improving content management to maintain consistency with departmental policy, and improving technical management to ensure consistency with departmental technical standards.

DOL National Call Center

The Department has implemented a national call center that strategically aligns with the USA Services Presidential Priority Initiative (PPI). The vision for the call center is a coordinated CRM approach using several media, or "channels," including phone, fax, Web, e-mail, regular mail, and in-person fieldwork. The call center, which was launched in September 2001, is the first cabinet-level, department-wide toll-free call center and is a key component of efforts to improve compliance assistance to citizens and businesses. The call center now receives more than 100,000 calls per month from citizens and businesses.

eProcurement

DOL is in the process of implementing an enterprise-wide fully Web-based eProcurement solution that will strategically align with the Integrated Acquisition Environment Presidential Priority Initiative. The Department's eProcurement vision is to improve the business process for planning, managing, and reporting on approximately \$1.3 billion in procurements. The eProcurement solution is designed to –

- ◆ Provide comprehensive management for all

aspects of procurement

- ◆ Reduce the cost of procurement operations
 - Support efforts to strengthen DOL's competitive sourcing
- ◆ Interface with the Department's accounting system for obligation processing
- ◆ Generate required Federal procurement data and enable electronic processing of solicitations, requests for proposals, and requests for quotations.

The Department's eProcurement system will support multiple user groups, such as acquisition specialists and budget, finance, and property management personnel. The system also will provide support in the areas of program mission, management oversight, and vendor community management. As extended functionality, such as eCatalogs and online auctions, are implemented, the user community will be able to use the eProcurement system to conduct all acquisition activities.

eGrants

The Department is also identifying an enterprise-wide, fully Web-based eGrants solution that will strategically align with the eGrants PPI. Movement to an eGrants system will provide increased consistency of grants management processes across the Department. It will also automate various grants management processes and will streamline and improve customer service. Once implemented, the system will provide citizens, businesses, and other governments receiving grants with more streamlined and accessible grants management.

Other CRM Accomplishments

Other accomplishments in managing the customer relationship include –

- ◆ Working with 11 PPIs, such as One-Stop Business Compliance and USA Services, to reduce duplication of effort across the Federal Government through shared strategies and IT initiatives.
- ◆ Creating partnerships between DOL's Office of the Chief Information Officer (OCIO) and other Department agencies to improve program activities from the customer's perspective. During an effort to improve the Davis-Bacon

and Service Contract Act wage determination processes, OCIO worked with the Employment Standards Administration to produce business cases and to identify Web-based collaborative technologies to improve customer participation.

- ◆ Institutionalized a Department-wide information quality program and prepared guidance to help agencies implement quality assurance procedures.

ORGANIZATIONAL CAPABILITY

The organizational capability component of the E-Government strategy ensures that the Department has the appropriate management structure and approaches in place to identify and manage E-Government projects. This section addresses establishing the *E-Government Framework*, integrating E-Government into performance management, managing E-Government projects, creating E-Government customer portfolios, and conducting workforce planning within the context of E-Government.

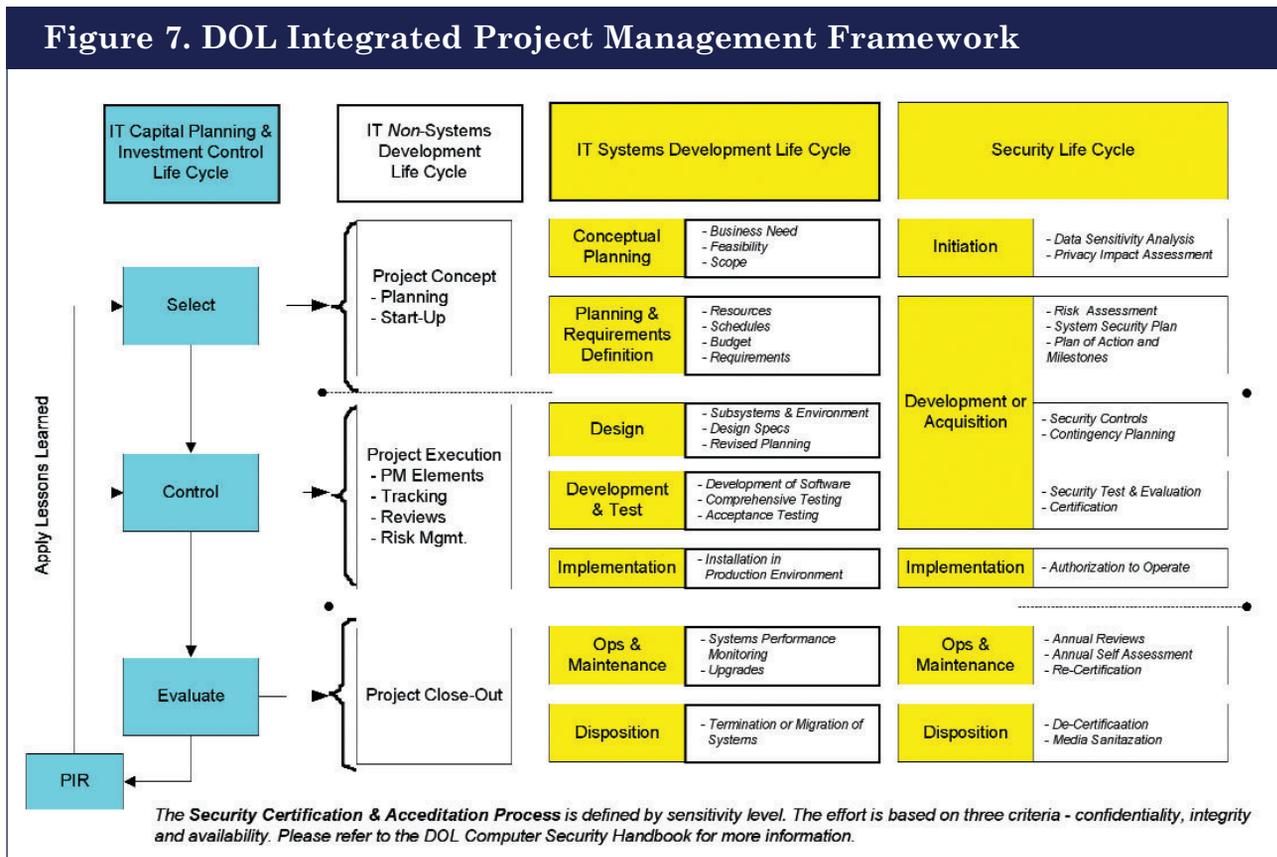
ESTABLISHING THE E-GOVERNMENT MANAGEMENT FRAMEWORK

The move toward E-Government must be proactively managed. This requires establishing an E-Government management team, developing plans to support the E-Government strategy, managing those plans in accordance with project management and IT investment management processes, and providing the proper oversight and governance. The primary elements of the *E-Government Framework* are policies, plans, processes, and people.

With respect to policies, in 2000 the Department published Secretary's Order 1-2000, Authority and Responsibilities for Implementation of the Paperwork Reduction Act of 1995 and the Clinger-Cohen Act of 1996, and Order 2-2000, Department of Labor Internet Services.³ These orders establish accountability for the management of the Department's information technologies and the development, institutionalization, and continuing support for the Department's public Web site. Additional policies, such as a Department-wide electronic correspondence policy, are under development.

In accordance with the responsibilities assigned to the Chief Information Officer (CIO) in the Secretary's Order 1-2000 and appropriate legislation and guidance, the Department's CIO provides a leadership role in the strategic and operational management of information technologies and, therefore, in the development and implementation of the *E-Government Framework*.

Figure 7. DOL Integrated Project Management Framework



³ As of February 2003, Secretary's Order 1-2000 is in the process of being revised.

The *E-Government* Framework also includes –

- ◆ The Technical Review Board (TRB), which conducts IT investment analysis, recommends IT portfolios to the MRB, guides IT architecture and standards programs, and establishes forums to increase collaboration and interagency communication
- ◆ The Internet Management Group (IMG), which was established to ensure compliance with the Secretary’s Order 2-2000.

MANAGING E-GOVERNMENT PROJECTS

E-Government projects fail for the same reason that other projects fail: lack of vision, poor planning, staff with the wrong skills, lack of management support, and lack of buy-in from key stakeholders. To guard against these pitfalls, DOL has established a comprehensive IT investment management program to select, manage, and evaluate IT projects. E-Government projects will be managed in accordance with this process to ensure that the right projects are selected; that risk analyses have been conducted; and that the projects are monitored to make sure that they are operating within acceptable cost, schedule, and technical performance parameters. E-Government projects will also be managed in accordance with the Department’s systems development life-cycle management methodology.

In addition, working with OMB, the Department established the Federal Government’s first centralized IT Crosscut Fund in FY 2001. The fund helps reduce duplicative spending across agencies, coordinate Department-wide IT spending, and capitalize on the economies of scale made possible by managing IT projects across agencies. Using the IT Crosscut Fund, DOL achieved nearly \$120 million in cost avoidance savings between FY 2001 and FY 2004.

Figure 7 provides an overview of the Department’s integrated project management framework. An overview of the project management framework is also presented in DOL’s brochure, the *IT Project Management Framework Guide*. This guide includes information on project management, security and privacy, IT capital investment management, system development, and DOL’s investment review board structure. The CIO Council has cited the guide as a best practice.

DOL’s management approach ensures that its transition to being a digital department will proceed in a structured manner and that the Department will meet its E-Government commitments.

INTEGRATING E-GOVERNMENT INTO PERFORMANCE MANAGEMENT

DOL continues to make progress in measuring its programs against strategic and outcome goals. At the same time, the Department is improving its management of Department IT through the DOL IT investment management process. These efforts enable DOL to more effectively align its E-Government efforts with program goals and priorities and to measure the contribution of DOL IT systems to customer-facing programs.

DOL will also benefit from OMB’s newly launched performance measurement initiative, the Program Assessment Rating Tool (PART). PART is a series of questions focused on four areas: program purpose and design, strategic planning, program management, and program results. Together, these questions are designed to assess overall program performance. OMB began using PART in the FY 2004 budget cycle. Initially the tool is being used to evaluate approximately 20 percent of Federal agency programs. That percentage is scheduled to increase to 100 percent over the next 5 years.

OMB evaluated nine DOL programs for the FY 2004 budget cycle:

- ◆ Bureau of Labor Statistics
- ◆ Pension and Welfare Benefits Administration
- ◆ Occupational Safety and Health Administration
- ◆ Office of Federal Contract Compliance Programs
- ◆ Trade Adjustment Assistance
- ◆ Dislocated Worker Assistance
- ◆ Youth Activities
- ◆ Community Service Employment for Older Americans.

OMB has provided scores for these programs, and the Department is now implementing a strategy to respond to the PART results. The DOL response strategy comprises four main steps:

- ◆ **Conduct Analysis.** Analyze the results to determine the root causes of performance problems
- ◆ **Identify Gaps.** Determine the nature and extent of performance challenges
- ◆ **Recommend Solutions.** Determine methods of addressing the performance gaps
- ◆ **Implement Performance Enhancements.** Take action to address performance gaps

The PART approach is a key element of the PMA's Budget and Performance Integration initiative. From an E-Government perspective, it provides an opportunity to identify how information technology can be better used to improve service to citizens.

DOL's progress in performance measurement is evidenced by its receipt of the third highest overall grade in the Mercatus Report on the quality of Federal agency reporting of performance results.⁴

CREATING E-GOVERNMENT CUSTOMER PORTFOLIOS

The Department will ensure that E-Government initiatives are assessed and managed in relation to other initiatives, taking into account project scheduling and interdependencies. Consistent with DOL's CRM approach, the Department will also coordinate these efforts with its partners in the value network.

To facilitate the identification, coordination, and management of E-Government projects DOL will develop E-Government customer portfolios in the Information Technology Investment Portfolio System (I-TIPS). These portfolios will be developed for each major customer group (citizens, businesses, and other governments, for example). This approach will facilitate a global perspective on E-Government and the incorporation of broader E-Government projects, such as unified information centers, data mining,

and knowledge management projects. Using the IT investment management process, alignment between proposed initiatives and customers, and development of associated customer portfolios will facilitate the streamlining of services.

The Department will also require business cases to be developed for all major E-Government projects. All proposed IT initiatives must be associated with a customer group and evaluated for alignment with Presidential Priority Initiatives and with Federal lines of business and subfunctions before funding will be approved.

CONDUCTING WORKFORCE PLANNING WITHIN THE CONTEXT OF E-GOVERNMENT

In their drive to respond to E-Government requirements, organizations face three critical questions:

- ◆ How will the implementation of E-Government impact my workforce?
- ◆ Does the existing workforce have the capability to become an E-Government workforce?
- ◆ What strategies and resources are needed to ensure that our future workforce competency/capability requirements are met?

To answer these questions, DOL established an E-Government workforce planning program in FY 2002 to systematically address future human capital requirements. This program is being implemented in a phased manner across functional and organizational levels within the Department and is designed to ensure that the PMA initiative Expanding Electronic Government supports the strategic management of human capital. For each workforce analysis, the Department uses the following methodology:

- ◆ **Strategic Business Definition.** During this step, DOL identifies and validates the organization's critical functions to create an accurate description of the work being performed. The Department then identifies the influences affecting workforce capabilities, including workload and competencies, and assesses internal and external factors. Based on this assessment, anticipated changes to work

⁴ 3rd Annual Performance Report Scorecard: Which Federal Agencies Inform the Public?, Mercatus Center at George Mason University, Released May 16, 2002. Available at <http://www.governmentaccountability.org/>

and requisite competencies are outlined, generating a future vision of the organization. The results of the strategic business definition provide the empirical foundation for subsequent supply and demand analyses.

- ◆ **Workload Assessment.** During this step, DOL evaluates the organization's current workload by quantifying workload distribution among work activities. Backlog workload and future workload requirements are also quantified on the basis of identified workload drivers and subject matter expertise.
- ◆ **Competency Assessment.** Competencies are defined as the knowledge, skills, abilities, attributes, and behaviors required to perform a given job. This step identifies and defines key competencies required for successful performance within the organization.
- ◆ **Workforce Composition Assessment.** This step entails (1) development of workforce profiles to evaluate the current workforce's composition, (2) assessment of the distribution of the organization's current workforce across various elements, and (3) calculation of attrition and recruitment trends. Together, these activities enable DOL to project the workforce through the planning period.
- ◆ **Gap Analysis.** A comprehensive gap analysis is performed after the completion of the workload, competency, and workforce analyses. This analysis identifies gaps between current workforce capabilities and future workload requirements, as well as gaps in requisite competencies between the current and the target proficiency levels. To better focus the subsequent solutions analysis, these workload-to-workforce and competency gaps are then prioritized.
- ◆ **Solution and Recommendation Development.** Finally, DOL develops a set of specific strategies to address all high-priority gaps between current and target competencies and between workforce capabilities and workload requirements.

The Department has implemented this methodology for the OCIO and for the IT security and privacy function. It will continue to address E-Government workforce planning issues as a strategic initiative to support DOL's overall E-Government vision.

ENTERPRISE ARCHITECTURE

The enterprise architecture component of DOL's E-Government strategy is designed to ensure that technology is managed in the way that best serves the mission, goals, and objectives of the Department. DOL's enterprise architecture is a blueprint that describes the Department's business, data, applications, and technology architectures and how they interoperate. This blueprint is mission driven and enables the Department to better serve its customers by ensuring that all layers of the enterprise architecture support the Department's mission. In addition, the architecture helps ensure that initiatives like common e-mail and PKI deliver Department-wide benefits through better integration with other initiatives. Through the enterprise architecture effort, DOL is continually identifying cross-cutting functions for Department-wide standardization and implementation. The DOL architecture ensures that the Department is fully compliant with the PMA, PPIs, and the FEA. This section addresses the establishment of the enterprise architecture and the building of DOL's E-Government technology foundation.

ESTABLISHING THE ENTERPRISE ARCHITECTURE

DOL is now the only Department in the Federal Government that is implementing a "federated" enterprise architecture, that is, one designed to be successful in a decentralized environment in which agencies' missions vary. Managing information technologies in a dispersed environment can result in individual agencies' making individual technology-related decisions that are not in the best interests of the overall Department. The Department's enterprise architecture efforts are designed to address this fundamental problem and will ensure that agency-level architectures are consistent with the Department's enterprise architecture.

The Department is implementing this enterprise architecture through a three-phase approach that focuses on universal and independent functions⁵, implementation plans, technical standards, and principles. DOL focused on universal functions first because they provided the greatest

Department-wide return on investment. Successive phases have focused on independent functions and on implementation plans.

To date, the Department has completed Phases I and II of its enterprise architecture, which involved establishing a baseline and targets for the business, data, applications, and technology architectures at a logical level. DOL has also established nine enterprise architecture guiding principles and 37 standards, as well as a Technical Reference Model. In addition, the Department has developed a standards life-cycle management process and identified stakeholder interactions. It has also populated a new system, the Enterprise Architecture Management System (EAMS), with enterprise-level data. This use of EAMS is intended to automate the enterprise architecture to facilitate real-time analysis of how DOL data and technologies can better support Department business lines.

Phase III of the enterprise architecture effort, which is now under way, is focusing on developing a complete target architecture and transition strategy. Some DOL agencies have already completed Phase III.

The Department is leveraging the knowledge gained through the enterprise architecture efforts and has begun to identify opportunities for intergovernmental collaboration to improve services to customers. The Federal Enterprise Architecture is a new tool to help identify these opportunities. Additional opportunities are expected to surface as the Department continues to develop its CRM program and to integrate its disparate enterprise architecture activities. DOL will continue to be able to characterize its enterprise architecture within the context of all FEA reference models once they are released.

Integrated Information Management

The Integrated Information Management (IIM) System is a Department-wide, cross-cutting IT initiative that will provide seamless integration of disparate data sources on an enterprise scale and provide the strategic advantages needed to ensure continuity of operations in natural or manmade

⁵ Universal functions are those performed throughout the Department. Independent functions are performed by only one or two departmental agencies.

disasters, regardless of the data's source or the storage format. The IIM will provide enterprise-wide standardization and maintenance of DOL's business definitions and business rules for data. It also will enable information exchange among agency business applications, both vertically and horizontally, and within the Department's information architecture.

The driving force behind this initiative is the need to create an environment in which users can efficiently collaborate, perform tasks, and obtain information from a single source. More important, the IIM will allow improved management of critical business and technical knowledge, and will improve employee retention by streamlining necessary functions and allowing citizens, businesses, employees, and other Federal government agencies to find the information they need, when and where they need it.

Knowledge Management

Enterprise knowledge management is a collaborative, integrated strategy and implementation approach for effective creation, capture, organization, access, use, and reuse of all enterprise knowledge assets.

Knowledge management organizes and makes information available electronically in a way that is useful for employees and customers. Conceptually, it turns a "brick and mortar" library into a "virtual library" through which users can obtain timely access to intellectual capital. As DOL's enterprise architecture matures and the Department integrates information from its customer outreach activities, DOL will focus on enhancing its knowledge capture and sharing capabilities.

BUILDING THE E-GOVERNMENT TECHNOLOGY FOUNDATION

Within the context of the Department's enterprise architecture, DOL will establish an infrastructure that facilitates a seamless, secure, and reliable interface with its customers and business partners. In the near term, the Department will place a higher priority on infrastructure projects in its budget planning activities, while continuing to develop its customer service plans. In this manner, the Department will establish a sound

technological foundation to support the E-Government systems identified through the CRM process. This foundation will be scalable and flexible. DOL will also focus on network efficiency, reliability, and capacity to ensure support of its E-Government projects.

Common E-Mail

Efficient and reliable network communications are essential to the overall management and leadership by the Department's executives and staff. As E-Government becomes the Federal government's dominant mode of operation, DOL personnel will increasingly rely on e-mail to serve the public when carrying out agency programs. Reliable, accessible, and secure e-mail has, therefore, become an operational requirement.

At present, departmental agencies use three different e-mail systems: Novell GroupWise, UNIX Sendmail, and Microsoft Exchange. E-mail users have encountered many problems with the current fragmented approach, including system degradation, difficulty in sending messages and attachments between agencies, and problems with directory services. The disparate e-mail environments result in as much as a 4-hour delay for messages between personnel.

By standardizing the Department's e-mail systems, DOL strives to improve performance, effectiveness, reliability, maintainability, usability, and security. In addition, the common e-mail system should reduce the total cost of ownership, impose a lower management and administrative burden, support delegated system administration (management by each agency's IT staff), and facilitate consolidation. The move to a common e-mail environment will enable the Department to simplify and unify its messaging services.

Completion of the common departmental messaging system also will set the stage for additional initiatives for improving effectiveness and reducing life-cycle costs through enterprise-wide network improvements and server consolidation. An efficient e-mail system will enable implementation of, and support for, several of the Presidential Priority Initiatives, including eRecords management, eAuthentication, and ePayroll/Human Resources (payroll processing consolidation).

Directory Services

The DOL Directory Service (DDS) is a new cross-cutting project proposed for FY 2004. This proposed effort will simplify and unify the Department's many directory functions, reduce directory administration costs, minimize errors, and improve information security.

The Department uses numerous directories in conjunction with its network operating systems, personnel and other databases, e-mail, other applications, and IT resources. DOL also must deal with a growing number of additional objects that will be associated with the common e-mail system, a biometrics database, PKI, and external directories.

With the increasing reliance on the Internet and Intranet – and the commitment to E-Government – the Department can no longer afford the unreliability, incompatibilities, and high costs associated with the current redundant, disconnected, nonstandard directory schemas. The DDS will provide policy-based networking. It also will serve as the “glue” binding information (data objects) from diverse existing directories, so that the information can be accessed, used, and merged into hybrid object sets that draw on multiple sources. The DDS will coexist with and draw data from a wide range of departmental databases or data stores. Disparate data formats will be integrated with the directory through use of tools such as Extensible Markup Language (XML) and Lightweight Directory Access Protocol (LDAP). This universal data representation and logical model of enterprise network services will allow cyber policies to be applied and managed at the enterprise level, thereby streamlining the process of information resource management.

SECURITY AND PRIVACY

Successfully implementing E-Government requires a level of trust on the part of all transacting parties. Government agencies, private businesses, and individual citizens must believe that electronic execution of private and/or sensitive transactions (such as providing regulatory data, bidding on a contract, or making a benefit claim) will be conducted in a way that ensures protection of information. E-Government security and privacy protection activities address the protection of the government assets involved in E-Government. These actions protect and defend information and information systems by ensuring confidentiality, availability, integrity, authentication, and non-repudiation.

This section addresses development of DOL's E-Government security and privacy framework, implementation of PKI, and assessment of the impact of privacy issues related to IT systems. As with the other components of the *E-Government Framework*, these activities demonstrate how the Department is implementing the President's Management Agenda.

DEVELOPING THE E-GOVERNMENT SECURITY AND PRIVACY FRAMEWORK

Consistent with its approach to other major elements of the *E-Government Framework*, the Department is taking a phased approach to its security and privacy efforts. During the first phase, DOL developed a comprehensive cyber security program in accordance with Federal legislation and policies, including the Federal Information Security Management Act of 2002 (FISMA - Title III of the E-Government Act of 2002) and the Privacy Act of 1974. Accomplishments include the following:

- ◆ Conducting risk assessments of the Department's major applications, general support systems, and financial systems, resulting in a better understanding of security risks and an improved ability to address them
- ◆ Developing system security plans for major applications, general support systems, and financial systems

- ◆ Developing an enhanced computer security awareness training plan
- ◆ Demonstrating compliance with the National Institute of Standards and Technology (NIST) Security Self-Assessment Guide (NIST 800-26) self-assessment methodology at Levels 1 and 2, with substantial compliance at Levels 3 and 4
- ◆ Establishing the plans of action and milestones (POA&M) reporting process; coordinating the annual review cycle with Inspector General audits; and integrating POA&M reporting into the IT investment management process
- ◆ Issuing the systems development life-cycle methodology, which integrated IT security into each phase of the project's life cycle
- ◆ Developing the security and privacy IT budget crosscut fund
- ◆ Issuing revised DOL policy for computer security
- ◆ Developing computer security guidance and issuing the Computer Security Handbook
- ◆ Initiating development of privacy impact criteria, which will be integrated into the vulnerability assessment process.

During the first phase of its security and privacy efforts, DOL successfully completed security baselining in accordance with NIST 800-26 guidelines. This assessment process showed that the Department was fully compliant with Level 1 and Level 2 of the NIST self-assessment (framework policies and procedures have been documented at the departmental level). The Department also showed that it was substantively compliant with Levels 3 and 4 of the NIST framework through the implementation of procedures and testing at the component agency level. That baselining effort has provided a foundation for better measurement and comparison of risk across the Department, improved allocation of resources for mitigation of the highest level risks, linking of security improvement efforts to the DOL enterprise

architecture, and validation of the Department's capability to incorporate E-Government security requirements.

During Phase II, DOL will conduct ongoing vulnerability analyses for a majority of systems, continue implementation of the Computer Security Awareness Program, and develop plans for higher degrees of compliance with the NIST self-assessment framework. As DOL's security and privacy program continues, the Department will continue to focus on the integration of IT security into E-Government-related processes such as the systems development life-cycle methodology and the IT capital planning and budget process.

The Department is progressing in its implementation of the security and privacy framework, as evidenced by DOL's receipt of the second highest overall grade and the highest of any cabinet department in a report on Federal computer security by the House Government Reform Committee's Subcommittee on Government Efficiency, Financial Management and Intergovernmental Relations⁶.

IMPLEMENTING PUBLIC KEY INFRASTRUCTURE

In establishing an overall electronic signature capability, the Department is implementing a common PKI capability across the enterprise. The project ultimately will provide capabilities to address the internal PKI needs of the Department. In many instances, this PKI implementation will replace existing methods of authentication, provide improved encryption capabilities, and provide a reliable method of electronic signature. Some examples of intended use include desktop, remote access, and Web site authentication; file and e-mail encryption; and eSignature of forms, files, and e-mail. The PKI implementation will support, and in some cases require the use of, smart cards as the storage medium for certificates – certificates issued to provide portability and improved security of subscriber's private keys. The PKI effort will meet departmental agencies' long-term needs for security and E-Government. It will be flexible enough to promote agency mission needs but sufficiently rigorous to provide security for the Department's most sensitive information. Finally, the Department's PKI efforts will be consistent with the eAuthentication PPI.

ASSESSING THE IMPACT OF PRIVACY ISSUES ON IT SYSTEMS

The Department will develop and implement an IT privacy impact assessment methodology, consistent with the requirements of the E-Government Act of 2002.

Using the Internal Revenue Service's Privacy Impact Assessment as a model, the Department will develop a system-level questionnaire based on strategic policies, procedures, and industry best practices, mapped to a core set of widely accepted privacy principles. The assessment questionnaire will use a standardized self-assessment approach to determine whether the Department is meeting Federal privacy requirements and internal agency rules. Because the state of an agency's privacy requirements and activities may change over time, the methodology devised for the questionnaire will have the flexibility needed to evaluate this constantly changing privacy landscape.

The goals of the self-assessment methodology will be to provide the Department with a current snapshot of an agency's privacy efforts at the system level, to map compliance activities to specific regulatory and statutory requirements, and to create a gap analysis. Such information should enable the Department to mitigate privacy risks, liability, and exposure to achieve public trust and confidence.

⁶ This report is available at http://reform.house.gov/gefmir/hearings/2002hearings/1119_computer_security/computersecurityreportcard.doc

E-GOVERNMENT RISK FACTORS

Developing and implementing an E-Government program necessitate the management of certain risks. This section identifies the major risks to DOL's program and the activities undertaken to mitigate those risks.

CUSTOMER SERVICE RISK

Public Confidence. The Department's customers must be confident that they can conduct transactions with the Department in a secure environment, with the appropriate privacy protections. The public also has high expectations concerning the quality and timeliness of service provided by the Department. DOL risks losing public trust and confidence if it does not actively pursue its efforts to become a digital department and to successfully execute its E-Government strategy. To mitigate this risk, DOL will develop action plans and measure its progress toward achieving its E-Government strategy.

IMPLEMENTATION RISK

Budgetary Issues. The Department has established a budget strategy to support its E-Government strategy. The budget strategy includes integrated budget guidance, coordination with the Office of the Chief Financial Officer and the Budget Center, and the categorization of enterprise-wide cross-cutting initiatives in the Department. This approach supports DOL's larger E-Government objectives in several ways. For example, the Presidential Priority Initiatives Budget Crosscut enables DOL to ensure that departmental initiatives support Federal efforts, and the Enterprise Architecture Budget Crosscut enables the Department to assess and fund the initiatives that form the E-Government foundation.

DOL's ability to implement its E-Government strategy will depend on the outcome of the appropriations process. Therefore, the Department will continue to work closely with OMB and the Congress to ensure support for the *E-Government Framework*.

Managing Change. The ultimate success of DOL's E-Government strategy will depend on the Department's ability to effectively address cultural and organizational barriers. Successful implementation requires an approach that emphasizes collaboration, communication, consensus building, and coaching. It will also require significant training and education to effect and institutionalize organization-wide change. Finally, change management strategies will have to be applied across traditional agency boundaries to better serve common customer groups.

Legal Issues. The Department will continue its current practice of collecting, maintaining, using, and disseminating identifiable personal information and data *only as authorized by law and as necessary to carry out mission responsibilities*. It will also evaluate other legal issues that arise throughout the implementation of the E-Government strategy, with a consistent focus on being as responsive as possible to customer needs.

Records Management Issues. The Department will ensure that its records management program is consistent with guidance provided by the National Archives and Records Administration, as it pertains to E-Government, including the Records Management Guidance for Agencies Implementing Electronic Signature Technologies.

IMPLEMENTING THE E-GOVERNMENT STRATEGY

To implement the E-Government strategy, the Department is employing an E-Government maturity model⁷ to baseline current capabilities and to develop action plans for reaching higher levels of customer awareness and organizational capability. The four levels of the maturity model are defined below:

◆ **Level 1: Creating E-Government Awareness.**

At this level, the organization is beginning to think about E-Government and may have a few notable E-Government initiatives under way. However, the overall E-Government infrastructure has not been established and a comprehensive, integrated approach to E-Government has not been defined and implemented.

◆ **Level 2: Building the E-Government**

Foundation. At Level 2, organizations have initiated concerted efforts to establish a framework for identifying and managing E-Government projects. Evidence of a systematic approach to E-Government is readily ascertainable. Strategies, plans, management structures, and knowledge of customer requirements indicate progress beyond Level 1.

◆ **Level 3: Managing to the E-Government**

Vision. At Level 3, organizations have a clearly defined E-Government vision and are actively managing toward that vision. The organization can demonstrate compliance with at least Stage 3 of the General Accounting Office (GAO) Information Technology Investment Management (ITIM) maturity model and the appropriate level of the *Federal IT Security Assessment Framework*. The organization can verify progress in implementing its E-Government workforce plan. The organization also has identified a target architecture and is successfully implementing its migration plan toward the target.

◆ **Level 4: Providing Sustained Delivery of**

Digital Services. At Level 4 of the E-Government maturity model, the organization is operating at the highest levels of the GAO ITIM framework and the CIO Council Federal IT Security Assessment Framework. The organization has a fully implemented CRM

plan and can demonstrate the ability to meet excellent customer service performance criteria consistently. In addition, the agency has automated its enterprise architecture and is able to adapt quickly to changes in strategy or technology.

E-GOVERNMENT MATURITY PERFORMANCE

The Department will conduct annual assessments of its E-Government maturity based on criteria developed for each component (that is, CRM, organizational capability, etc.) at each level of the maturity model. These assessments will incorporate the results of other scoring processes and will provide the input necessary to develop integrated action plans that address logical sequencing of activities and critical process dependencies inherent in the maturity model.

⁷ Booz Allen hamilton, *E-Government Maturity Model: From Assessment to Action*, April 2001

NEAR-TERM E-GOVERNMENT ACTIONS

This *E-Government Strategic Plan* provides the Department's *E-Government Framework* and a path forward to becoming a digital department to better support DOL's customers. The Plan identifies the following activities that the Department will pursue in the near term in support of its E-Government strategy.

CUSTOMER RELATIONSHIP MANAGEMENT

- ◆ Continue refinement of customer categorization, matching customers to DOL agencies
- ◆ Conduct customer interactions and information audits and develop customer service plans based on the audits
- ◆ Measure and enhance customer service
- ◆ Identify CRM pilot projects throughout the Department. For example, use the results from the PART evaluation to analyze how to improve performance and customer service
- ◆ Continue implementation of the Department's eProcurement/eGrants efforts
- ◆ Continue to integrate how customers access the Department through the Unified National Call Center
- ◆ Center and DOL's public Web site
- ◆ Continue to focus on burden reduction
- ◆ Continue DOL's managing partner role in GovBenefits.gov
- ◆ Continue to support the Presidential Priority Initiatives.

ORGANIZATIONAL CAPABILITY

- ◆ Continue implementing the E-Government workforce planning program
- ◆ Conduct quarterly E-Government project reviews
- ◆ Continue to develop and analyze E-Government customer portfolios.

ENTERPRISE ARCHITECTURE

- ◆ Complete mapping the FEA to the DOL architecture, by DOL agencies and IT initiatives
- ◆ Complete the enterprise architecture target architectures and transition plans
- ◆ Integrate enterprise architecture and customer service improvement activities
- ◆ Seek opportunities to coordinate with PMA initiatives (PPI) and collaborate with other government agencies for automating initiatives
- ◆ Implement projects to improve departmental interoperability, such as the common e-mail system and DOL Directory Service
- ◆ Continue to align with the FEA reference model framework.

SECURITY AND PRIVACY

- ◆ Update the cyber security program plan
- ◆ Incorporate E-Government initiatives and systems into the DOL cyber Security Program
- ◆ Ensure complete integration of the information security architecture requirements within the enterprise architecture
- ◆ Integrate security and privacy into ongoing planning and management activities, including the IT capital planning and investment control process and systems development life-cycle methodology
- ◆ Implement enterprise-wide PKI.

In conjunction with the implementation of these activities, the Department will develop biannual E-Government progress reports using its E-Government scorecard and the E-Government maturity model, which will serve as the basis for integrated action plans.

CONTACT INFORMATION

For more information on the Department's *E-Government Strategic Plan* and associated activities contact Patrick Pizzella, Chief Information Officer, at pizzella.patrick@dol.gov.

APPENDIX A

OVERVIEW OF KEY DEPARTMENT OF LABOR E-GOVERNMENT INITIATIVES

Initiative: GovBenefits.gov

Web site: <http://www.govbenefits.gov>

The Department is the managing partner for this PPI. GovBenefits.gov provides citizens with access to information on all government benefit programs and services through a single Internet Web site. By providing information on their income, marital or employment status, family size, and other basic matters (a process that usually takes between 5 and 15 minutes), citizens are guided to a list of the benefits they may be eligible to receive. Program descriptions and contact information are provided for each benefit program.

The initial release of GovBenefits.gov (April 2002) features an easy-to-use online screening tool to help individuals or caseworkers determine eligibility for a range of government programs. Benefit programs are regularly added to the site, which now includes 200 programs, worth more than \$1.3 trillion. The site averages 480,000 visitors each month.

The GovBenefits.gov initiative reduces the time that individuals must spend trying to identify and access relevant information about relevant government benefit programs. The site's long-term vision is to enable individuals to actually apply for benefits online through a streamlined application process.

Initiative: DOL National Call Center and Web Services

Web site: www.dol.gov and internal DOL intranet

DOL has implemented a national call center that strategically aligns with the USA Services PPI. The call center, which was launched in September 2001, is the first cabinet-level department-wide toll-free call center and now receives more than 100,000 calls per month from citizens and businesses.

The vision for the call center is not just to provide a phone line but to offer a coordinated customer relationship management (CRM) approach using

several media, or "channels," including phone, fax, Web, e-mail, regular mail, and in-person fieldwork. The call center is also a key component of the Department's efforts to improve compliance assistance.

The Department's Web sites are playing an increasingly important role in communication between DOL and the public and its employees. The Department is now reorganizing the management of all DOL Web sites to improve dissemination of information. The major goals of the management reorganization include improving presentation and consistency of material to improve customer access to information, improving content management to ensure consistency with departmental policy, and improving technical management to ensure consistency with departmental technical standards.

Initiative: PeoplePower

PeoplePower is the DOL's project to implement an integrated human resources and payroll system using the PeopleSoft Federal Human Resources Management System. When implementation is complete, non-integrated legacy systems will be supplanted by a single integrated system that will provide increased access to information and streamlined processes.

In Phase 1 (implemented in June 1998), PeoplePower became the DOL system of record for human resources. Phase 2 added enhanced reporting capabilities using an online analytical processing (OLAP) tool, incorporated budgeting into the position management process, and implemented a training administration module.

Phase 3 introduced WebPARs, DOL's electronic solution for accessing core personnel information. This has replaced the paper SF-52 process and is accessible online to managers, administrative personnel, budget officers, and authorizers. Phase 4 will institute PeopleTime, a Web-based time and attendance application, available to all DOL

employees, for entering timesheet data. PeopleTime can be used from any approved access point to the intranet and draws data directly from, and uploads time and attendance information directly to, PeoplePower. It will provide employees with more accurate timesheet processing and up-to-date access to information.

Through use of PeoplePower, the Department is adopting a number of government and industry best practices to provide improved services and greatly enhanced information accessibility, “bringing the power of information to your fingertips.”

Initiative: eProcurement

DOL is in the process of implementing an enterprise-wide eProcurement system to align with the Integrated Acquisition Environment (IAE) Presidential Priority Initiative, led by the General Services Administration (GSA). The IAE seeks to create a common Internet Web site to support a government-wide acquisition marketplace that provides a set of extended capabilities, such as eCatalogs and vendor databases, that can be managed as shared services by all Federal agencies. The Web site would include vendor registration and streamlined ordering, billing, and collections processes. The initiative will reduce processing costs and timeframes, while improving managers’ ability to plan and make decisions.

By implementing its eProcurement system, DOL will be able to apply commercial best practices to performance of Department procurement activities. Specifically, this system will enable DOL to leverage technology to standardize and streamline procurement processes, lower purchasing and operating costs, ensure reliable and accurate financial information, and improve customer service.

Initiative: eGrants

DOL is one of several Federal agency partners in the eGrants PPI, led by the Department of Health and Human Services (HHS). With its grant-making sub-agencies, DOL is preparing to accept grant applications submitted through the Federal grants storefront and is creating the capability to automate grants review and management workflow. When this capability is implemented,

all grant-making agencies at DOL will benefit from streamlined, more user-friendly processes, reduced paperwork, and improved capabilities to monitor and evaluate grant programs.

DOL has six agencies with granting authority. The Department is seeking to establish a common electronic platform to improve the flow of grant data throughout the six authorizing agencies and to enable full life-cycle online management of the grants process. In the first phase of the eGrants initiative, “find and apply,” grant applications are being examined to consolidate the application data DOL needs to ensure that the eGrants Storefront meets the Department’s needs. Subsequently, DOL will update its eGrant requirements to enable it to evaluate and select a solution that will allow DOL and its agencies to fulfill the objectives of the eGrants Storefront and E-Government.

Initiative: OASAM’s Paper Check Conversion Process

The Department of Labor has transitioned from a bank lockbox system to a Paper Check Conversion (PCC) process in handling all administrative checks submitted to the Office of the Assistant Secretary for Administration and Management (OASAM). Funds are debited from customer accounts and are deposited in the U.S. Treasury within 24 hours after scanning. This speeds up the deposit process and increases interest earned by the U. S. Government. Centralization of the check handling process in the Chicago region is more efficient as one Financial Management Specialist and one Accountant handle the entire process rather than staff from 6 different regions. Reports are generated quarterly so that the Department can now know what administrative checks are being received by DOL agencies. The U.S. Treasury provides the software and the Federal Reserve Bank provides the hardware. The system allows us to search for check images for up to seven years, which allows us to avoid filing the original checks.

Initiative: eLaws – Employment Laws Assistance for Workers and Small Businesses

Web site: <http://www.dol.gov/elaws/>

The eLaws Advisors are interactive tools that provide information about Federal employment

laws. Each Advisor simulates an interaction between the user and an employment law expert. It asks questions and provides answers based on the user's responses.

Initiative: Employment and Standards Administration (ESA) Office of Labor-Management Standards – Labor Organization Annual Report

Web site:

<http://www.dol.gov/esa/regs/compliance/olms/electronic-forms.htm#2>

ESA now enables union officers in 14,000 labor unions across the country to sign and submit their annual reports electronically. Union officers use a digital signature and submit the report over the Internet.

Initiative: ESA Wage and Hour Division – Davis-Bacon Wage Survey

Web site: <https://www.dol-esa.gov/wd10/>

ESA enables 37,500 construction contractors and other businesses to provide wage data and other information electronically.

Initiative: Mine Safety and Health Administration (MSHA) eLaws Training Plan

MSHA enables the more than 5,000 mines and independent mine contractors to electronically provide their required training plans. The MSHA Training Plan Advisor provides background information and compliance assistance to better train workers to improve mine safety.

In August 2002, MSHA's Web site was rated as one of the top Federal Web sites for the services it includes, help features, ease of navigation, legitimacy, and accessibility. (*The State of Federal Websites: The Pursuit of Excellence; The PricewaterhouseCoopers Endowment for the Business of Government, August 2002*)

Initiative: ETA Foreign Labor Certification – Labor Condition Application

The Employment Training Administration (ETA) has implemented a labor condition application (LCA) online system to enable the 50,000 employers who intend to temporarily hire alien workers to file their LCAs electronically. Within minutes of submission, the system automatically notifies the employer whether its LCA is certified

or denied. The system also provides information about next steps employers must take once the Department has granted the certification.

Initiative: BLS – Report on Employment, Payroll, and Hours

Web site: <http://www.bls.gov/sae/>

The Bureau of Labor Statistics (BLS) now enables more than 350,000 businesses to use a form to provide detailed industry data on the employment, hours, and earnings of workers on non-farm payrolls. States then electronically transmit the sample data to BLS each month. This electronic process has reduced the burden of survey collection by more than 88,000 hours.

Initiative: OSHA – Online Rulemaking

The Occupational Safety and Health Administration (OSHA) Online Technical Information Retrieval System (TIRS) has been in existence since 1983. This system is fully Web enabled, so that the public can access the docket, as well as provide comments and attach documents in support of their comments. The public also has access to comments. This initiative is consistent with, and is coordinating with, the Online Rulemaking Presidential Priority E-Government Initiative.

OSHA maintains a database containing online rulemaking information; historic OSHA standards and information; OSHA committee activity; state plan and consultation activity; National Recognized Testing Laboratory (NRTL) and variance applications; information collection requests (ICR); and an OSHA card catalog and index of records for technical books, studies, and reports.

E-Government Scorecard

The Department has developed an internal E-Government scorecard to measure performance of DOL agencies on their progress on E-Government. The categories for evaluation on the scorecard are –

- ◆ Mission Alignment - measuring alignment with Federal and departmental strategic plans, including the President's Management Agenda

- ◆ Architecture Compliance - measuring compliance with the Federal and departmental enterprise architectures
- ◆ Security Compliance - measuring compliance with the various security statutes and regulations including the Federal Information Security Management Act (FISMA).
- ◆ Project Management - measuring compliance with the Department's capital planning process, system development life-cycle guidance, and risk analysis.

Agencies are rated in each of these four categories and also receive an overall E-Government rating of green, yellow, or red. Because of the increased emphasis on security, any red ratings in the security category automatically translate into an overall red rating.

The Department is using the E-Government scorecard to help keep track of agency progress on E-Government initiatives and to help contribute to OMB's semiannual scoring of agency progress on the President's Management Agenda. The DOL E-Government scorecard template is provided on the following page..

Table 3. E-Government Scorecard

OMB Rating Baseline Evaluation (As of End of FY 01)	Scorecard Item	Progress On Implementation of the PMA	Comments	Rating
Mission Alignment				
	<ul style="list-style-type: none"> ◆ Alignment with PMA ◆ Alignment with Federal and DOL E-Government Strategies, including the PPT's ◆ Alignment with DOL's Strategic and Annual Goals or Priorities ◆ Reduce burden under the PRA and GPEA compliance efforts ◆ Contribution to mission performance 			<p style="text-align: center;">●</p> <p>Red, Yellow, or Green for each rating</p>
Architecture Compliance				
	<ul style="list-style-type: none"> ◆ Compliance with the Federal Enterprise Architecture ◆ Compliance with the standards set forth in the DOL's EA ◆ Implementation plan to comply with the DOL agency's EA 			<p style="text-align: center;">●</p>
Security Compliance*				
	<ul style="list-style-type: none"> ◆ Implementing security policies and procedures: Compliance with FISMA, Privacy Act, OMB Security Guidance, departmental security policies 			<p style="text-align: center;">●</p>
Project Management				
	<ul style="list-style-type: none"> ◆ Compliance with CPIC process (Clinger-Cohen, A-11, A-130, SDLC) ◆ Utilization of I-TIPS ◆ Performance Measures (A-11, A-130) ◆ Viability and Risk Analysis 			<p style="text-align: center;">●</p>
Overall Progress Report Rating				
				<p style="text-align: center;">●</p>

* Indicates a "showstopper." A red rating for this element would automatically result in an overall scorecard rating of red.

APPENDIX B

PRESIDENTIAL PRIORITY INITIATIVES

Provided below are brief descriptions of the Presidential Priority Initiatives. Tables 4A, 4B and 4C, respectively, present the initiatives for which the Department is the managing partner, initiatives for which **DOL** is a partner, and the remaining initiatives

Table 4A. PPIs in which DOL Participates as a Managing Partner

Initiative Name	Managing Partner	Partners	Description
GovBenefits.gov (formerly Eligibility Assistance Online)	DOL	SSA, VA, HUD, USDA, STATE/INS, HHS, FEMA, DOE, and ED	<ul style="list-style-type: none"> GovBenefits.gov provides citizens with access to information on all government benefit programs and services through a common Internet Web site. By answering basic questions about such items as income, marital or employment status, and family size, citizens are guided to a list of the benefits they may be eligible to receive. Program descriptions and contact information are provided for each benefit program. The initial release (released in April 2002) features an easy-to-use online screening tool to help individuals or caseworkers determine eligibility for a range of government programs. Benefit programs are regularly added to the more than 100 programs already covered. The long-term vision for the site is to enable individuals to actually apply for benefits online through a streamlined application process. The initiative is reducing the amount of time individuals must spend trying to identify and access relevant information about government benefit programs.

Table 4B. PPIs in which DOL Participates as a Partner

Initiative Name	Managing Partner	Partners	Description
One-Stop Business Compliance	SBA	DOL, EPA, IRS, DOT, EEOC, DOC, FERC, and SEC	This initiative provides a common Internet site through which businesses can easily access information about laws and regulations. The Web site will allow businesses to determine whether they are in compliance and to complete transactions online. This common approach could save businesses \$58 million annually.
USA Services	GSA	DOL, SSA, VA, HHS, ED, USDA, FEMA, and SBA	USA Services provides citizens with more coordinated customer service across Federal agencies through different communication methods (Internet, phone, e-mail, fax, etc.). The initiative will reduce the time and effort citizens must expend to interact with the Government, reduce duplicative entry and reporting of citizen information, and increase citizen satisfaction.

Initiative Name	Managing Partner	Partners	Description
Online Rulemaking	EPA	DOL, DOT, USDA, GSA, HHS, and FCC	This initiative creates a common Internet site for all Federal regulatory material, to help the public find and comment on proposed rules. It will improve regulatory decision-making by increasing opportunities to provide input on proposed regulations and will reduce costs by eliminating redundant systems across agencies.
eGrants	HHS	DOL, NSF, DOD/ONR, ED, HUD, DOT, and DOJ	eGrants creates a common Internet site through which customers can access grant information and provides electronic application and processing of grants. The initiative will reduce the burden of applying for and administering grants.
Integrated Acquisition Environment	GSA	DOL, DOD, DOC, DOI, SBA, and USDA	This initiative creates a common Internet site to support electronic acquisition of goods and services by all Federal agencies. The Web site will include vendor registration and streamlined ordering, billing, and collections processes. The initiative will reduce processing costs and timeframes, while improving managers' ability to plan and make decisions.
Expanding E-Tax Products for Business	Treasury	DOL, EPA, USDA, GSA, HHS, and FCC	This initiative reduces the number of tax-related forms that businesses file and government agencies process. It provides tax information to businesses, allows electronic tax filing, and simplifies tax employment laws and reporting requirements. The initiative will reduce the burden of complying with and administering Federal and state tax laws for both businesses and government agencies.
eTraining	OPM	DOL, DOT, DOD, and GSA	eTraining creates a common Internet site to consolidate training capabilities across the Federal government. Training materials will include Federal government-wide mandatory information, such as ethics and harassment information, as well as agency-specific information. The initiative will reduce training time and improve Federal worker performance, satisfaction, and retention.
Recruiting One-Stop	OPM	DOL, DOD, EPA, DOI, NASA, and DOT	This initiative will expand the existing capabilities of www.usajobs.opm.gov and streamline the Federal employment application process. Applicants will be able to submit resumes electronically, and managers will be able to search through the resumes online. Applicants will also be able to check the status of their applications through the Web site. The initiative will reduce application time and agency response time and will allow the Federal government to compete more effectively for quality personnel.
eClearance	OPM	DOL, DOD, DOE, Treasury, VA, and DOC	eClearance creates an online version of the security clearance application form, develops a clearance verification system to share information across agencies, and converts existing clearance records into electronic format. The initiative will reduce processing time for clearances and improve accuracy of information.

Initiative Name	Managing Partner	Partners	Description
Integrated HR	OPM	DOL, HHS, EPA, NASA, DOI, Treasury, VA, GSA, HUD, and USDA	Integrated HR streamlines and automates the exchange of Federal human resources (HR) information across the Federal government. The initiative will eliminate the need for a paper employee record and improve government-wide data analysis and reporting. The increased availability of HR information will lead to improved strategic workforce planning.
ePayroll	OPM	DOL, other partners are being identified	ePayroll simplifies and standardizes Federal payroll policies and procedures and improves integration of payroll with HR and financial management. The initiative will generate cost savings through economies of scale and provide cost avoidance by reducing the need for systems modernization.
eAuthentication	OPM	DOD, Treasury, DOJ, USDA/NFC, PTO, NASA, and DOC/NIST	eAuthorization provides a secure infrastructure for each of the other Presidential Priority Initiatives. The initiative will provide a solution to verify identities and will allow electronic signatures for electronic transactions.

Table 4C. Other PPIs

Initiative Name	Managing Partner	Partners	Description
Online Access for Loans	ED	SBA, HUD, VA, USDA, FEMA, HHS, and FDIC	This initiative creates a common Internet site for information about loan opportunities across the Federal government. It allows citizens and businesses to find the loan programs that meet their needs.
EZ Tax Filing	Treasury	None	EZ Tax Filing reduces the burden on taxpayers by allowing them to file their taxes electronically over the Internet. The initiative will reduce the taxpayer cost of filing electronically, as well as reducing IRS processing costs.
Recreation One-Stop	DOI	USDA, Corps of Engineers, TVA, DOT, and Smithsonian	This initiative provides a common Internet site through which citizens can access information about nationwide recreational opportunities. It will reduce the time it takes citizens to find recreational information and allow them to conduct transactions, such as making reservations, electronically.
Federal Asset Sales	GSA	VA, Treasury, FDIC, HUD, SBA, DOD, and ED	This initiative creates a common Internet site for information on Federal asset sales and a secure marketplace through which asset buyers and sellers can conduct electronic transactions.
Wireless Public Safety Project (SAFECOM)	DOJ	Treasury, USDA/Forest Service, DOC/NTIA, DOD, and DOI	SAFECOM promotes interoperability of radio networks for Federal, state, and local governments. The initiative will allow better communication among public safety responders during emergency situations.

Initiative Name	Managing Partner	Partners	Description
eTravel	GSA		eTravel creates a common Internet site for Federal travel services. The initiative will automate travel services across Federal agencies and reduction of processing time and costs for voucher claims.
eRecords Management	NARA	GSA, DOE/NRC, DOC/NOAA, DOC/PTO, and VA	eRecords Management helps Federal agencies better manage electronic records through common requirements and standards. The initiative will improve the integrity of electronic records and facilitate increased sharing of and access to records across agencies.
Consolidated Health Informatics	HHS	Business case only	This initiative provides a common basis for sharing medical records among government agencies and health care organizations. It will provide a single way of capturing health data and then integrating and share it across organizations as appropriate.
International Trade Process Streamlining	DOC	Treasury/ Customs, DOJ, IE Bank, and participants in Int. Trade Database	This initiative creates a common Internet site to help small and medium-size businesses access export information and apply for loan guarantees electronically. The initiative will help these businesses conduct market research and reduce the cost of complying with export requirements.
Geo-Spatial Information One-Stop	DOI	FEMA, NASA, DOC, HUD, EPA, DOT, NIMA, and USDA	This initiative coordinates standards and indexing for geospatial information that identifies geographic location and natural or manmade structures worldwide.
eVital	SSA	VA, HHS, OPM, USDA, DOD, and State/INS	eVital automates the current paper-based processes to collect, process, and disseminate vital records, such as death records, among agencies and other organizations that require access. The initiative will reduce the administrative burden of managing vital records, improve access, and help reduce benefits fraud and erroneous payments.
Disaster Response Management	FEMA	SBA, DOC/NOAA, USDA, HHS, and HUD	This initiative creates a common Internet site for the public and a common site for government providers of disaster services. The initiative will help the public find disaster assistance information, including applications for assistance, and will improve government coordination.
Federal Enterprise Architecture	OMB	All	The Federal Enterprise Architecture is a Federal government-wide effort to identify common lines of business (e.g., grants) and their supporting information and technology. The initiative will facilitate cross-agency analysis and the identification of duplicative investments, gaps, and opportunities for collaboration within and across the Federal government.

APPENDIX C

FEDERAL ENTERPRISE ARCHITECTURE BUSINESS REFERENCE MODEL

The Federal Enterprise Architecture Program Management Office (FEA-PMO) was created within the Office of Management and Budget (OMB) in February 2002. It was established to address a key barrier to E-Government success identified by the 2001 E-Government Task Force: the lack of a Federal Enterprise Architecture.

The FEA-PMO collected and analyzed high-level business architecture information across the Federal Government to capture and build on the architecture work of the E-Government Task Force. The result of this effort, version 1.0 of the Business Reference Model (BRM), consists of 35 lines of business and 137 subfunctions. Figure 8 provides a graphical depiction of the BRM. The Department of Labor is associating its major initiatives with the BRM to identify areas for collaboration.



To ensure alignment with the BRM and assess opportunities for collaboration, the Department will –

1. Map each agency's proposed major fiscal year (FY) 2004 information technology (IT) investments to BRM lines of business and subfunctions.
2. Develop prioritization criteria to focus FY 2004 cross-agency analysis on high-impact/high-return subfunctions.
3. Partner with other agencies where appropriate to (a) gain better understanding and improve baselining of potential commonalities and (b) determine and further explore collaboration opportunities. The Department will employ the following process to determine opportunities for collaboration and consolidation with other departments and agencies.

(a) Conduct baselining activities:

- ◆ Validate and verify that the proposed IT investments actually support the same functional area
- ◆ Determine whether there are any other existing systems in operation (in addition to proposed major IT investments) that support the functional area
- ◆ Identify the customer groups supported by each proposed IT investment
- ◆ Identify key objectives and performance outcomes of each proposed IT investment
- ◆ Identify the data and information to be managed by each proposed IT investment
- ◆ Identify which common application capabilities will be required (e.g., content management)
- ◆ Identify what platforms (including access and delivery channels) are required to manage each proposed IT investment
- ◆ Identify security and privacy requirements.

(b) Determine opportunities based on the following considerations:

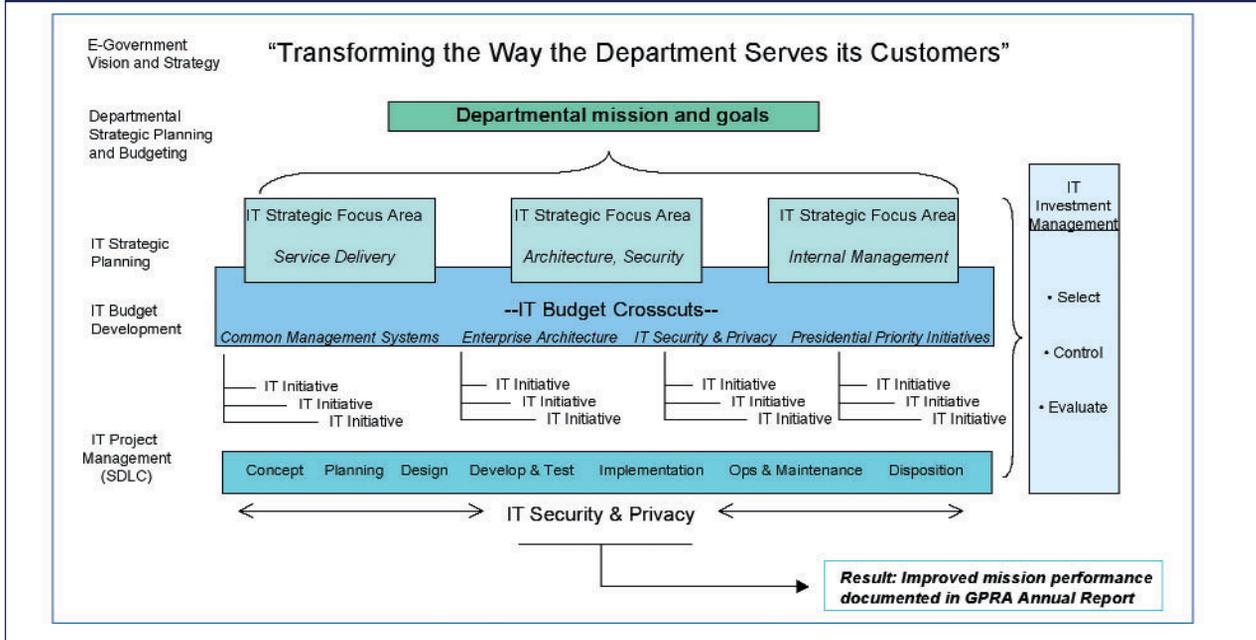
- ◆ If services are the same but customers are different, there may be opportunities for sharing applications or investing in one system.
- ◆ If customer groups are the same but services are different, there may be opportunities for sharing data.
- ◆ If it appears that one investment can meet the needs of multiple agencies, determine (1) data requirements (including normalization), (2) platform requirements, and (3) security and privacy requirements.
- ◆ For opportunities for developing a common application, determine whether new or existing systems should be developed/maintained through a transition period and the associated costs.

APPENDIX D

DEPARTMENT OF LABOR IT STRATEGY

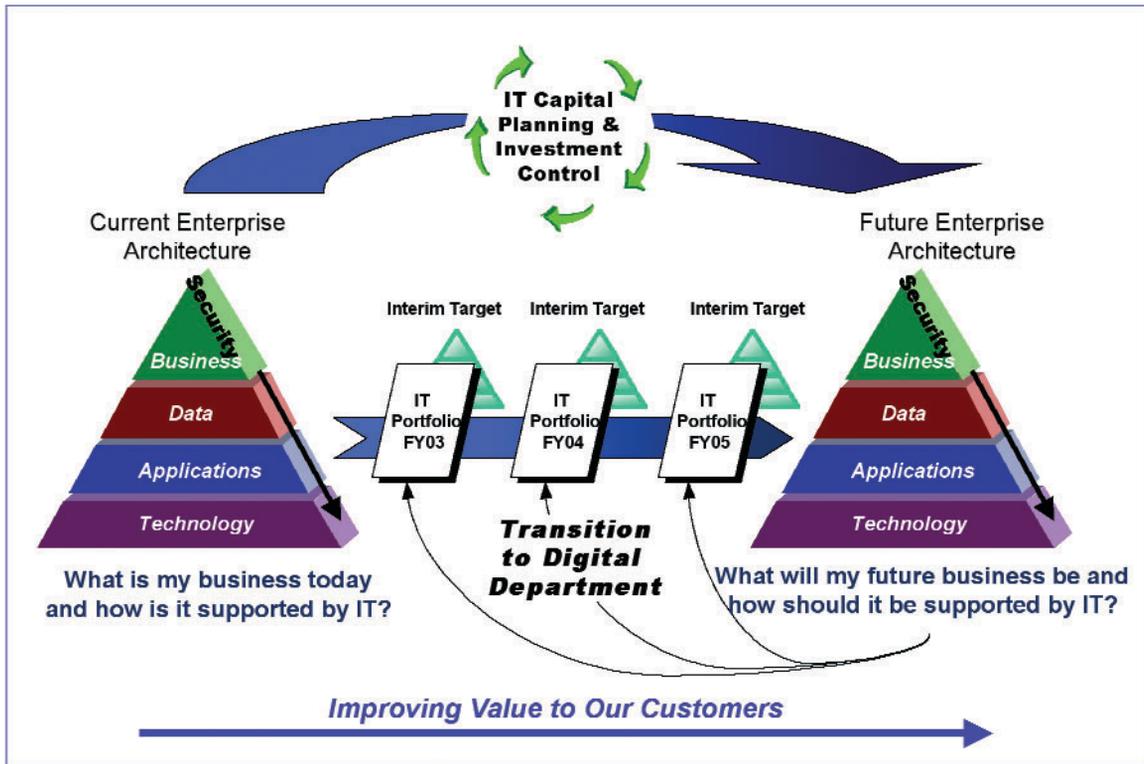
The Department of Labor is developing an information technology (IT) strategy that is based on ensuring that IT aligns with the business requirements of the Department and broader Federal efforts. Figure 9 provides an overview of the planning process within which IT strategic planning is integrated. The figure demonstrates how the three IT strategic focus areas (service delivery, architecture and security, and internal management) are linked to the departmental mission and goals and the E-Government strategy. It also demonstrates how specific initiatives are managed to ensure proper integration with higher level strategies.

Figure 9. Department of Labor Planning Framework



Because information technologies are an enabler of the achievement of business objectives, the IT strategy is focused on the technologies necessary to support changing business requirements and improve delivery of services to customers. For this reason, the Department's IT strategy is its migration plan for achieving its target architecture. This plan is managed via the IT capital investment and control process to ensure that IT investments are aligned with the architecture. Figure 10 depicts the process for attaining the target environment.

Figure 10. Transitioning to the Target Environment



The IT strategy focuses on the Department's path to achieving the following:

- ◆ **Target Data Architecture.** The purpose of the target data architecture is to develop an efficient way of handling data across the Department, based on the need for DOL agencies to have timely, high-quality, and dynamically changing data to share with customers.
- ◆ **Target Applications Architecture.** The purpose of the target applications architecture is to develop an easily understandable roadmap that links the Department's business needs to a coherent portfolio of applications. The resulting target application architecture defines the "to be built" architecture representing the future functions and capabilities for supporting target business needs.
- ◆ **Target Technology Architecture.** The purpose of the technology architecture is to assist the departmental entities responsible for delivering and maintaining business systems in accordance with departmental requirements. It describes the technical standards that can be used to develop new systems and applications.

The Department's IT strategy is designed to identify the sequencing or migration activities necessary to meet these target environments.

APPENDIX E

OVERVIEW OF DEPARTMENTAL CUSTOMERS AND SERVICES

Provided below is a breakdown of DOL services by major customer group. These categorizations will serve as a basis for further analysis and segmentation to target and improve customer service.

Government-To-Citizen (G2C) Table 5A identifies major citizen customer groups and the services provided to them by the Department. Examples of how citizens interact with the Department include obtaining and submitting information using DOL and agency home pages, America’s Job Bank, America’s Learning Exchange, the Occupational Safety and Health Administration’s (OSHA) workers page, publications, forms, and outreach and educational activities.

Table 5A. Government-to-Citizen

Customers	Service
General Public	Information related to labor and employment
Working Public	Information related to employment laws and standards, wages, compensation and benefits, training, regulatory, and statutory information
Employees	Information on employment laws and standards, economic conditions, employment qualifications, and training
Job Seekers	Information on wages, economic conditions, employment qualifications, and training
Claimants, Representatives, and Beneficiaries	Information related to compensation and benefits
Veterans, Reservists, and National Guardsmen	Enforcement and protection of veterans’ preference, grants for employment training, and information on veterans-related laws
Mine Workers	Inspection and investigative services; educational, regulatory, and statutory information
Welfare Recipients and Unemployed Workers	Grant funding through state and local communities, unemployment compensation benefits, and insurance information

Government-To-Business (G2B) Table 5B identifies major business customer groups and the services provided to them by the Department. The relationship is multifaceted. Businesses are suppliers to, partners of, customers of, and occasionally competitors with the government. In addition, businesses must comply with government regulations while they maintain these roles (e.g., OSHA rules). Examples of how businesses interact with the Department include obtaining and submitting information using DOL and agency home pages, compliance assistance advisors, publications, forms, intervention and educational activities, and site visits and inspections. This category also includes suppliers and other eProcurement activities.

Table 5B. Government-to-Business

Customers	Service
For-Profit Organizations	Safety education and inspections, historical and projected data on U.S. and world economic conditions, employment and training news and initiatives, guidance on relevant statutory requirements, and regulatory oversight
Small Businesses	Information on safety and health
Financial Institutions and Policy Organizations	Historical and projected data on U.S. and world economic conditions
Labor Unions	Information on workers' rights and union publications and reports
Health Care Organizations	Opinions, certificates, reports, and evaluations
Mine Operators	Inspection and investigative services and educational, regulatory, and statutory information
Insurance Organizations	Information on insurance regulations and statutes
Agricultural Organizations	Information on agricultural and farm health and safety

Government-To-Government (G2G) Table 5C identifies major government customer groups and the services provided to them by the Department. Types of services include information on labor standards, policies, and safety and health. Examples of how other government organizations interact with the Department include obtaining and submitting information using DOL and agency home pages and links, publications, forms, and outreach and educational activities.

Table 5C. Government-to-Government

Customers	Service
Federal Agencies and Policymakers	Information on wages and benefits, foreign policy, employment and training opportunities, and safety and health
State, Local, and Tribal Government; Non-Profits	Information on labor standards, policies, safety and health, and employment
Foreign Governments	Information on foreign policy, labor laws, skills, resources, and technology

Government-To-Employee (G2E) Table 5D identifies employee customer groups and the services the Department provides to them. G2E is an effective way of providing eLearning and promoting knowledge management. Examples of how employees interact with the Department include obtaining and submitting information using DOL intranet, automated employee service systems, forms, publications, and seminars.

Table 5D. Government-to-Employee

Customers	Service
Federal Employees	Information on workers compensation and benefits laws and regulations, employment and training opportunities, benefit reimbursement, and civil rights laws and regulations; eLearning opportunities
DOL Employees	Administrative services and civil rights laws and regulations; eLearning opportunities

Persons with Disabilities. In addition to serving the above categories of customers, the Department will also ensure that (1) federal employees with disabilities are able to use information technologies to do their jobs and that (2) members of the public with disabilities who interact with the Department will be able to use IT to access information on equal footing with people who do not have disabilities. These efforts will be conducted in accordance with Sections 504 and 508 of the Rehabilitation Act of 1973 (as amended) and published standards.

Summary. The above customer categories facilitate DOL’s ability to understand its customers and to tailor service offerings to their needs. DOL will focus on improving value to these various customer groups.



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