Digital Government Strategy Governance Structure Approach Documentation

Department of the Treasury

Submitted pursuant to Milestone 4.2 of the
Office of Management and Budget's
Digital Government Strategy for the 21st Century

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Revision History

Version Number	Edits by	Revision Date	Reason
0.1	Redacted	11/01/2012	Baseline Draft
0.2	Redacted	11/02/2012	Baseline Draft update
0.3	Redacted	11/14/2012	Structural, content, and revisions to incorporate details from the IT Roadmap and Open Government Plans
0.35	Redacted	11/15/2012	Incorporated TTIRB diagram
0.45	Redacted	11/19/2012	Editorial and grammatical changes
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0.7	Redacted	11/20/2012	Additional editorial and structural updates
0.85	Redacted	11/21/2012	Approved Document within OCIO purview
0.9	Redacted	11/29/2012	Small editorial change
1.0	Redacted	12/3/2012	Approved Document

Letter of Transmittal and Approval

This document is the Department of the Treasury's ("Treasury", "Department") *Digital Government Strategy Governance Document* ("Governance Document", "Document") pursuant to Milestone 4.2 of the *Digital Government Strategy for the 21st Century* ("Digital Strategy", "DGS"). The Document describes the approach to providing governance for DGS and is an addendum to Treasury's "Enterprise Information Technology (IT) Roadmap". The IT Roadmap describes the FY 2013-2016 plans for continuing to improve the effectiveness and efficiency with which the Treasury enterprise leverages IT to fulfill mission objectives. The DGS document is subject to change as the IT Roadmap is updated in the future. The governance approach will continue to be coordinated with Treasury's Office of the Assistant Secretary for Management, the Treasury CIO Council (includes the Bureau CIOs), and the Treasury Technology Investment Review Board (TTIRB).

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Deputy Assistant Secretary for Information Systems and
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1 Project Description

1.1 Overview

This document outlines the governance structure under which Treasury will implement *Digital Government Strategy* (DGS). The governance structure will enable the Department to monitor the effectiveness and efficiency of implementation of the *Digital Government Strategy.*

1.2 Background

The DGS was announced by the Federal Chief Information Officer Steven Van Roekel on May 23, 2012. The *Digital Strategy* requires each federal agency to embrace the opportunity to innovate more with less and enable entrepreneurs to better leverage government data to improve the quality of services to the American people. Through the understanding of the agency's information architecture, shared platforms, customer engagements, and security and privacy protocols[1], the *Digital Strategy* plans to:

- "Enable the American people and an increasingly mobile workforce to access high-quality digital government information and services anywhere, anytime, on any device;"[2]
- "Ensure that as the government adjusts to this new digital world, we seize the opportunity to procure and manage devices, applications, and data in smart, secure and affordable ways;"[3] and
- "Unlock the power of government data to spur innovation across our Nation and improve the quality of services for the American people."[4]

As a visionary strategy, the DGS will transform and enhance government services through mobile neutral platforms and secure, ubiquitous information access.

1.3 Impact and Benefits

DGS is an opportunity for Treasury to leverage the organizational enhancements created under M-11-29[5]. A Treasury Technology Investment Review Board (TTIRB) sub-committee will be convened. The Sub-Committee will provide oversight for three initiatives: Open Government[6], Smart Disclosure, and DGS. This will leverage the TTIRB governance structure and facilitate a cohesive approach to implementing these initiatives under one supportive hierarchy.

1.4 Compliance References

This document complies with the following policies and guidance documents:

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[1] See Digital Government: Building a 21st Century Platform to Better Serve the American People, pg. 5-7.

[2] Excerpt from Digital Government: Building a 21st Century Platform to Better Serve the American People, p. 2, May 23, 2012.

[3] *Id.*

[4] *Id.*

[5] See M-11-29, Chief Information Officer Authorities.

[6] See The President's Memorandum on Transparency and Open Government.

- M-10-06, Open Government Directive
- M-11-29, Chief Information Officer Authorities
- M-12-10, Implementing PortfolioStat
- The President's Memorandum on Transparency and Open Government
- Informing Consumers through Smart Disclosure, September 8, 2011
- Digital Government: Building a 21st Century Platform to Better Serve the American People, May 2012
- Executive Order 13571, Streamlining Service Delivery and Improving Customer Service
- Executive Order 13576, Delivering an Efficient, Effective, and Accountable Government
- Digital Services Governance Recommendations, August 23, 2012

2 Strategic Framework

It is the mission of Treasury IT to:

- foster the prudent use of IT resources to operate the U.S. Department of the Treasury efficiently and effectively;
- meet priorities set by Treasury, Bureau, and government-wide management;
- help ensure Treasury's IT capabilities remain in alignment with, and relevant to, the markets it serves.

To achieve this mission, Treasury IT has established a strategic framework within which our core organizational values combine with our strategic practices to deliver capability to the markets we serve. This framework is particularly relevant because it depicts not only Treasury IT's commitment to its constituency but also the importance of our organizational values as the foundation of everything we do.

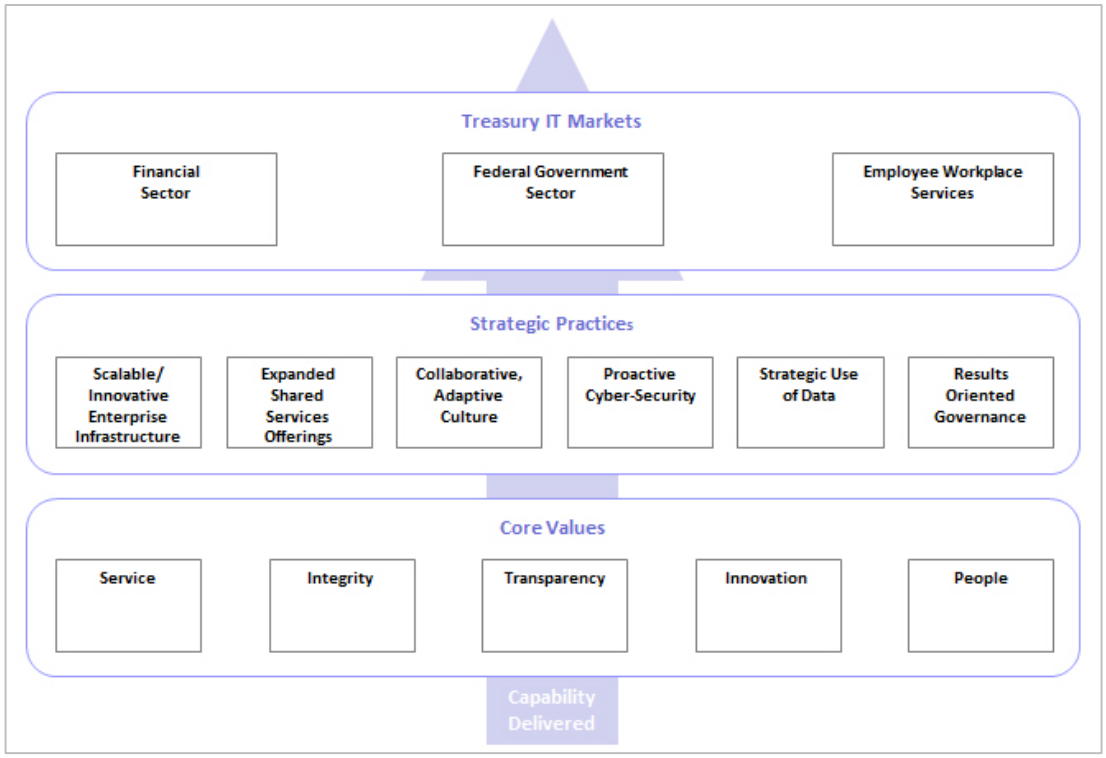

Figure 1. The Six Domains of Treasury's Strategic Practices for FY 2013 - FY 2016

2.1 Core Values

Through all Treasury IT activity, management and staff will exhibit the values described below in the performance of their duties. Specifically:

- *Service*: Work for the benefit of our customers and the American people
- *Integrity*: Adhere to the highest ethical standards of honesty, trustworthiness, accountability, and dependability
- *Transparency*: Promote openness, information-sharing, and collaboration
- *Innovation*: Recognize that Treasury must renew IT to meet evolving demands for cost effective solutions
- *People*: Recruit, advance, and retain skilled IT people to work at all levels of the organization
- *Respect*: Value the dignity, talent, and diverse perspectives of employees, customers, and partners

These values are the foundation upon which we deliver solutions and capability to our constituency.

2.2 Strategic Practices

Our strategic practices describe the key capability areas essential to ensuring the continued delivery of effective, efficient, and timely functionality to our customers and partners. These practice areas are particularly relevant in today's time of austere budgets as they serve as the strategic context within which all development work is assessed. These practice areas specifically include the following six domains with two practices (shaded portions) specifically applicable to the Digital Strategy:

Practices	Desired Impact on People, Processes, and Technology
Scalable/Innovative Enterprise Infrastructure	A reliable foundation for IT across Treasury • Secure interoperable networks • Common methods for identity and access management • Facilities and equipment readily available and accessible for use • Architecture and processes prepared for new technologies (ex: wireless communications, ubiquitous use of mobile devices, expansion of public, private, and hybrid clouds, virtualization, social networks) and a technology-savvy customer community
Expanded Shared Service Offerings	More efficient and effective IT platforms • Common suite of solutions available for addressing commodity IT requirements • Business solutions developed with greater agility • Shared applications and business solutions leveraged across federal, financial, and workforce communities • Simplified adoption of next generation service offerings through use of common standards and mechanisms for service integration

Collaborative, Adaptive Culture	Improved mission efficiency • Culture of continuous improvement in the way we recruit, train, evaluate and reward employees of all tenures and positions • IT staff responsive to customer needs as demonstrated by the timely delivery of technology solutions that improve business outcomes • Commitment to best practices in our IT processes to ensure stability and availability of our services through use of methodologies such as the Capability Maturity Model (CMM) and the Information Technology Infrastructure Library (ITIL) • IT staff with the means to dynamically adapt to new technologies
Proactive Cybersecurity	Protection of information, services and assets • Effective continuous monitoring and comprehensive situational awareness • Increasingly cost effective Cybersecurity investments • Thoughtful and effective approach to risk management • Treasury environment equipped for continuously evolving threats
Strategic Use of Data	Data-centric infrastructure that supports policy analysis and decision making • Processes, operations, and customer service continuously improved through data-driven technology • Improved data integrity through use of common data standards and definitions across Treasury • Transparency into information used to support policy decisions
Results-oriented Governance	Improved management effectiveness • IT investment/cost-benefit decisions based on robust project and operational metrics • Improved purchasing power and alignment of IT resources through consolidation of duplicative investments • Advocacy of Treasury best practices through Office of Management and Budget (OMB) and government-wide working groups • Mechanisms available for coordinating decision-making on policy improvements and the management of key interdependencies

3 Governance Structure

3.1 Results Oriented Governance

Treasury is actively putting governance structures in place to enable a more open, dynamic and business-oriented dialog on Treasury's key business priorities and the enabling technologies they require. In addition to looking at how we measure and monitor the performance of our IT investments, an effective IT governance structure requires the ability to discover and act on opportunities whether they be specific to a bureau or office, or across the overall enterprise. An effective governance process should serve as a conduit for communicating Treasury's priorities and objectives to the appropriate constituency.

3.2 Treasury Technology Investment Review Board (TTIRB)

Treasury is currently completing the implementation of the Treasury Technology Investment Review Board (TTIRB). This body will provide a forum for decision making on enterprise-wide IT platforms and help with surfacing to the Shared Services Council opportunities to increase enterprise-wide efficiency and effectiveness through shared solutions.

3.3 Digital Government Governance and Open Government Consolidation

As referenced in the TTIRB diagram, Figure 2, an early activity of the TTIRB will be formation of a DGS Sub-Committee. The TTIRB will collaborate with/make recommendations to Shared Services Council as necessary for new or significantly changing investments. With the DGS and parts of non-Privacy, Transparency, and Records (PTR) related activities in Open Government (e.g., Information Collection Reporting, Paper Reduction Act, etc.) consolidated under the TTIRB, performance measurement processes can be enhanced through a more consistent framework along with better communications among bureaus and between bureaus and the Department. Furthermore, there will be motivation towards strategic collaboration to reduce duplicative IT portfolio efforts. This multidimensional governance framework can eliminate one-time "trade-off" decisions and ensure balanced decision making according to the priorities of the Department. DGS, Smart Disclosure, and Open Government initiatives have many overlaps that can be consolidated in order to produce consistent APIs[7], mobile content, and datasets for Data.gov through better information, funding and resource commitments.

[7] *APIs*, also known as application programming interfaces, permit a secure system of machine-to-machine interaction over a network, which will require a scalable infrastructure (from security to monitoring to disaster recovery to the physical hardware) to be in place for good performance. Web APIs involve the transfer of data, but not a user interface.

3.4 Treasury Technology Investment Review Board (TTIRB) Diagram

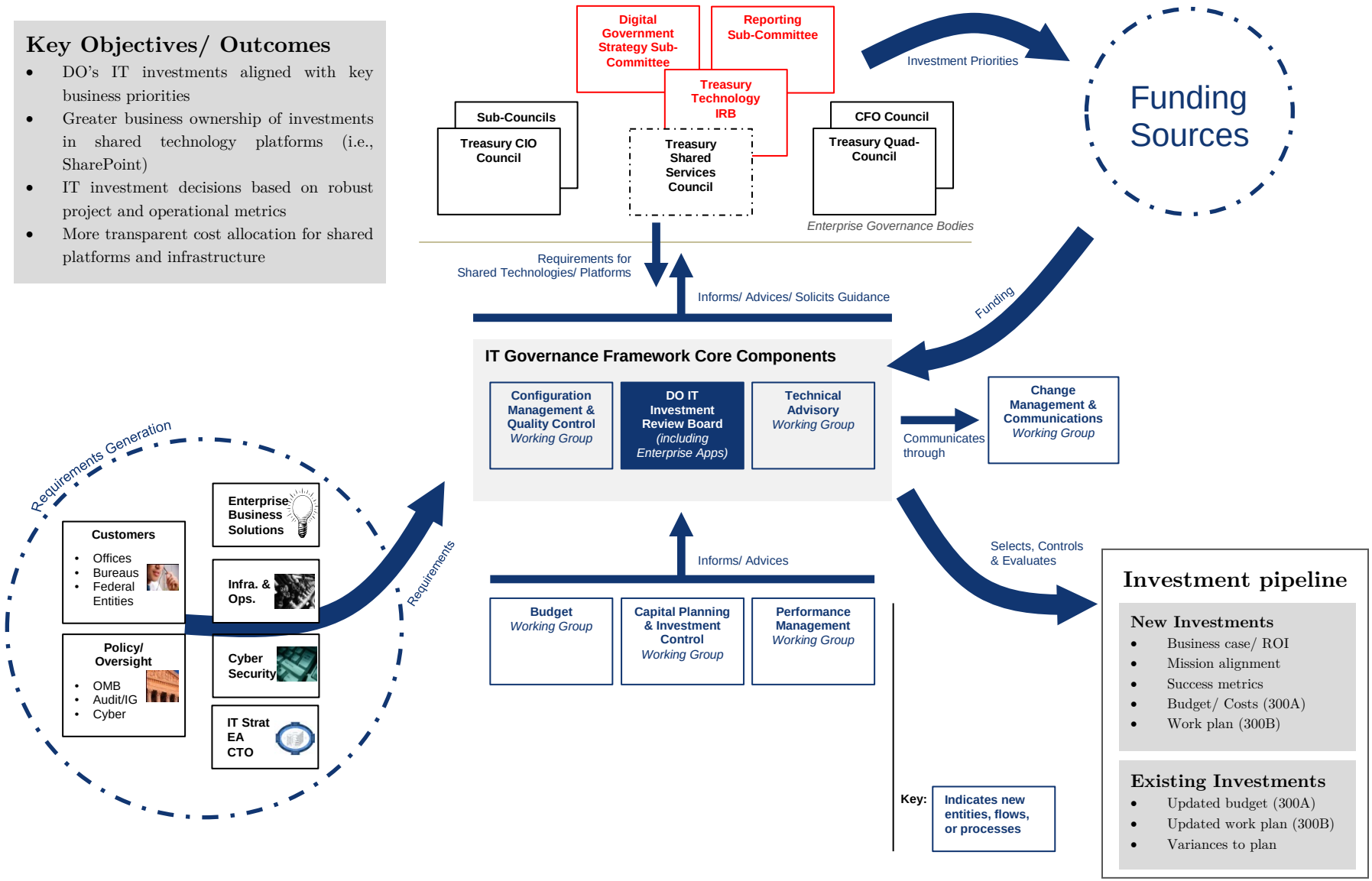

Figure 2. Treasury Technology Investment Review Board and the potential Digital Government Strategy Sub-Committee.

3.5 TTIRB Summary

The scope of the TTIRB spans Treasury's operational, business, and IT units. Under the oversight of the TTIRB, the DGS, Open Government, Smart Disclosure governance structures will be consolidated into one group, known as the DGS Sub-Committee (DGS SC). The TTIRB will perform the governance of the DGS until the DGS subcommittee's structure is completely defined with a scope, list of members, and responsibilities. During the transition period, the TTIRB will build the framework for the DGS Sub-Committee based on the recommendations provided by OMB on *Digital Services Governance* and also perform all necessary responsibilities for the Digital Strategy.

3.5.1 TTIRB Members – Informational and Proposed Structure

The main TTIRB body will consist of the following groups and voting members:

- TTIRB Voting Members
  - Assistant Secretary for Management (ASM) – Chair
  - Deputy Assistant Secretary for Information Systems/Chief Information Officer (DASIS/CIO) – Vice Chair (also the designated Department lead for DGS)
  - Deputy CIO (alternate)
  - Bureau CIO (Treasury CIO Council Representative)
  - Treasury Budget Officer
  - Bureau Chief Financial Officer
  - Treasury Procurement Executive
  - Bureau Procurement Representative
  - Treasury Chief Human Capital Officer (CHCO)
  - Bureau Human Capital Officer
  - Deputy Assistant Secretary for Privacy, Transparency, and Records (DAS PTR)
- TTIRB Non-Voting Members
  - Associate CIO for Enterprise Business Solutions (ACIO EBS)
  - Associate CIO for IT Strategy and Technology Management/Chief Technology Officer (ACIO ITSTM/CTO)
  - Associate CIO for Infrastructure Operations (ACIO IO)
  - Associate CIO for Cybersecurity/Chief Information Security Officer (ACIO Cyber/CISO)
  - Chief Enterprise Architect
  - Director of IT Capital Planning
- Other TTIRB participants may include bureau representatives of their respective divisions and/or branches as needed.

3.6 DGS Governance - Next Steps

The Department and OCIO are finalizing the membership of the TTIRB and will hold the first meeting in January 2013. The DGS Sub-Committee will be stood-up by the end of the second quarter of FY2013. In the interim, the TTIRB will act and perform the governance of the implementation of

DGS. Treasury will have a more definitive governance structure once the DGS Sub-Committee is established.

3.7 Established Governance Bodies and Mechanisms

To help improve organizational visibility into, and business ownership of, Treasury's IT investment decision making, several governance bodies have been established. These include the following:

- The **Office of the CIO**, in conjunction with the **Treasury's Management and Budget Office**, has recently initiated a **Departmental Offices IT Investment Review Board** (DO IT IRB). Comprised of senior business and technology leaders within DO, this Board has representation from IRS Procurement, IT, Finance, Budget, and the department-wide Treasury CIO Council. This Board has met regularly since its first meeting on February 29, 2012 and has oversight responsibility for DO's IT investment portfolio. Since DO operates a number of Treasury-wide shared services (i.e., HR Connect, Treasury.gov, ECM and others), the DO IT IRB currently has oversight responsibility for these investments funded through Treasury's Working Capital Fund (WCF). Chaired by the Assistant Secretary for Management (ASM), and comprised of the deputy commissioners from each of Treasury's Bureaus, a **Shared Services Council** was established to create an executive level forum for decision making around the development and utilization of shared services across Treasury.
- The **Treasury Acquisition Council** (TAC) provides a forum for senior leaders to work together to create a world class acquisition system (people, process, organization, and technology) across the Department of the Treasury. The TAC develops and implements strategies and initiatives to continuously improve acquisition performance. The TAC provides a forum for the Bureau Chief Procurement Officers and other interested stakeholders to coordinate cross-cutting policy and management issues, develop and implement innovative acquisition approaches, share best practices and lessons learned, oversee and track progress against improvement goals, and make other decisions on issues that have a potential for Treasury-wide impact on acquisition and financial management programs. The CIO, Chief Financial Officer (CFO) and Chief Human Capital Officer (CHCO) are *ex officio* members of the TAC.
- The **Treasury Quad Council** is a leadership group chaired by the ASM and comprised of membership from representative Treasury Bureaus' Chief Financial Officer, Chief Information Officer, Chief Procurement Officer, and Chief Human Capital Officer Communities. The Quad Council makes recommendations to the ASM and CFO on matters requiring strong interdisciplinary and inter-bureau cooperation and coordination, including strategic sourcing.

3.8 Measuring and Managing IT Investment Performance

In FY 2012, Treasury's Capital Planning and Investment Control (CPIC) community worked to establish cost, schedule and operational metrics by which Treasury's major and minor initiatives are currently measured. Reporting is provided monthly to bureau executive management and is the basis by which the Chief Information Officer (CIO) determines the health of all IT investments (as reported on the IT Dashboard). Furthermore, it is the degree of variance in these metrics that determines whether a TechStat is required on any particular investment.

4 Current Strategic Use in Data

4.1 Opening up Data Assets

Data is the lifeblood of the financial services community and the federal government is an owner of many key datasets. Whether it is information related to construction, trade, Gross Domestic Product, housing, employment, income, expenditures or any other macro/ micro- economic related information, the U.S. Federal government plays an essential role in that data ecosystem. Treasury plays a particularly valuable role as the steward of important economic and financial data that is in turn consumed by both private and public sector entities. Fostering greater consumption and leverage of the nation's financial and economic data is important to the ongoing evolution and maturation of the financial marketplace.

4.1.1 Customer Engagement

As the Federal Reserve System regularly consumes Treasury data, Treasury has identified it as a key customer for engagement with DGS and other application building opportunities. As a method of outreach, Treasury will review data collection from our partners, data "munging"[8] by data users, and data metrics on the Federal Reserve Economic Database (FRED) as provided by Federal Reserve Bank of St. Louis (FRSTL).

4.1.2 Understanding Customer Utilization

As a method of outreach, Treasury will evaluate GSA/OMB-provided website performance metrics to support the scope of Treasury.gov, IRS.gov and other bureau-specific sites. Specific areas of interest for Treasury can include tracking content usage, mobile usage of the website, and other social analytics. Analytics reporting will be incorporated into TTIRB meetings on a monthly basis to ensure compliance with all existing rules, policies, and guidance, which includes civil liberties/privacy and cybersecurity. Further, Treasury is actively working on projects to facilitate the consumption of Treasury data via mobile platforms, which includes IRS2Go, m.irs.gov (mobile version of IRS.gov), Auction Results Table, and Debt to the Penny and Who Holds It.

4.2 Strategic Action Plan for Data Quality and Transparency in Tandem with Open Government, Current State

Among the many initiatives to promote transparency, participation, and collaboration, the Open Government Directive[9] requires agencies to address the quality of federal spending information. Treasury's plan will address the quality of both financial and non-financial data made available to the public.

[8] Data munging "describes the overall process of manipulating unstructured and/or messy data into a structured or clean form. The word has snuck its way into the jargon of many modern day data hackers. Munge rhymes with "lunge". (As defined by Wes McKinney in "Python for Data Analysis" [O'Reilly Media, 2013])

[9] See 6.

4.2.1 Data Quality

Treasury submitted its first Open Government and Data Quality Plans to OMB in May 2010. The second update to the Open Government Plan was made in August 2012, with a focus on internal information sharing and process improvements. The Data Quality Plan describes the current processes used within Treasury to ensure the quality of the data posted online, with an emphasis on the contracts and grants data on USASpending.gov. The Data Quality Plan also lays out the additional actions Treasury is taking to improve the quality of Treasury data released to the public.

5 Conclusion

Treasury's DGS Governance structure will support Part B of Milestone 4.2 goals to deliver better services at lower costs in the following areas:

- Content lifecycle management;
- Adoption of third-party online tools;
- Mobile application delivery;
- Sharing of infrastructure and digital information; and
- Data management and inventory.