

## Department of the Treasury

### Section 1: Highlights of Agency E-Government Activities

#### **A. Enhanced Delivery of Information and Services to the Public - Sec. 202(g)**

*Section 202(g) of the E-Gov Act requires agencies to provide information on how electronic Government is used to improve performance in delivering programs to constituencies. In no more than 250 words, describe one IT agency activity or initiative that enhances the delivery of information and services to the public and others, or makes improvements in government operations. This example should highlight how electronic government improved the effectiveness, efficiency, and quality of services provided by your agency.*

The Office of Online Services (OLS) was established within the Department of the Treasury (Treasury), Internal Revenue Service (IRS) in January 2012 to meet continued growth in demand for customer service from taxpayers across all channels. Specifically, OLS is a strategic business initiative within IRS that leads the innovation and creation of digital services to meet these taxpayer needs. There are five functions within the OLS: Online Engagement, Operations and Media; Product Management; User Experience and Design; Portal Business Management; Strategic Services. In 2015, these functions have worked together in order to deploy new products and services in line with using digital services to meet taxpayer needs and continue to progress in its mission to make taxes clearer through better online content. In 2015, OLS released the following: Apply for an Online Payment Agreement for Individuals and Businesses (<http://www.irs.gov/Individuals/Online-Payment-Agreement-Application>) Where's My Refund in multiple languages (<http://www.irs.gov/Refunds>) IRS Direct Pay Release 3 (<http://www.irs.gov/Payments/Direct-Pay>) IRS2Go 5.2 (<http://www.irs.gov/uac/Newsroom/Updated-IRS-Smartphone-App-IRS2Go-Version-50-Now-Available>) FATCA Foreign Financial Institution (FFI) List Search and Download Tool (<http://www.irs.gov/Businesses/Corporations/FATCA-Foreign-Financial-Institution-List-Search-and-Download-Tool>) Return Preparer Lookup Tool (<http://irs.treasury.gov/rpo/rpo.jsf>) In 2015, customer usage of online services is continuing to trend upwards.

#### **B. Public Access to Electronic Information - Sec. 207(f)(1)(B)**

*Section 207(f)(1)(B) of the E-Gov Act requires that agency websites assist public users to navigate agency websites, including the speed of retrieval of search results and the relevance of the results. Provide the updated URL(s) that contains your agency's customer service goals and describes activities that assist public users in providing improved access to agency websites and information, aid in the speed of retrieval and relevance of search results, and uses innovative technologies to improve customer service at lower costs. For example, include the URL to your agency's Customer Service Plan.*

Public Facing Agency URL(s)	Brief Explanation (if necessary)
<a href="http://www.treasury.gov/open/Documents/Treasury%20Customer%20Service%20Plan%20FINAL.pdf">http://www.treasury.gov/open/Documents/Treasury%20Customer%20Service%20Plan%20FINAL.pdf</a>	Customer Service Plan
<a href="http://www.performance.gov/content/increasing-self-">http://www.performance.gov/content/increasing-self-</a>	Agency Priority Goal

Public Facing Agency URL(s)	Brief Explanation (if necessary)
<a href="#">service-options-taxpayers?view=public#overview</a>	
<a href="http://www.performance.gov/content/create-culture-service-through-relentless-pursuit-customer-value?view=public#overview">http://www.performance.gov/content/create-culture-service-through-relentless-pursuit-customer-value?view=public#overview</a>	Strategic Objective
<a href="http://www.treasury.gov/press-center/press-releases/Pages/default.aspx">http://www.treasury.gov/press-center/press-releases/Pages/default.aspx</a>	Press Center
<a href="http://www.treasury.gov/connect/Pages/default.aspx">http://www.treasury.gov/connect/Pages/default.aspx</a>	Social Media Page
<a href="https://www.fpds.gov/fpdsng_cms/index.php/en/">https://www.fpds.gov/fpdsng_cms/index.php/en/</a>	Procurement Data System
<a href="http://www.treasury.gov/FOIA/Pages/reading_room.aspx">http://www.treasury.gov/FOIA/Pages/reading_room.aspx</a>	FOIA Library
<a href="http://www.treasury.gov/initiatives/recovery/Pages/1603.aspx">http://www.treasury.gov/initiatives/recovery/Pages/1603.aspx</a>	List of payments made under the 1603 program
<a href="http://www.treasury.gov/resource-center/data-chart-center/digitalstrategy/Pages/data.aspx">http://www.treasury.gov/resource-center/data-chart-center/digitalstrategy/Pages/data.aspx</a>	Treasury data sets
<a href="http://www.treasury.gov/FOIA/Pages/calendars.aspx">http://www.treasury.gov/FOIA/Pages/calendars.aspx</a>	Secretary of the Treasury's Calendar

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

### A. Performance Integration - Sec. 202(b)

*The E-Gov Act requires agencies to develop performance metrics that demonstrate how electronic government supports agency objectives, strategic goals, and statutory mandates. In no more than 250 words, describe what performance metrics are used and tracked for IT investments and how these metrics support agency strategic goals and statutory mandates. Please discuss performance metrics that focus on customer service, agency productivity, innovative technology adoption and best practices. If applicable, include a description of your agency's evaluation model and how it is used. Provide applicable URL(s) for performance goals related to IT.*

In order to demonstrate that the Treasury IT portfolio enables progress toward agency objectives, strategic goals, and statutory mandates, the Department requires and regularly reviews cost, schedule, operations, and performance metrics in the following areas for each IT investment: Customer Satisfaction Results, Strategic and Business Results, Financial Performance, and Management and Innovation Specific investment metrics may vary by investment. Appropriate metrics are selected for each investment to show how they facilitate customer service, agency productivity and the adoption of innovative approaches, best practices and how they support various stakeholder groups. To strengthen the link to Departmental priorities, Treasury major IT investments are annually mapped to specific elements of the agency strategic plan. Treasury's IT portfolio operational metrics may be found at: <https://itdashboard.gov/search-results?searchquery=&searchtype=fmZxPSgoQWdlbmN5TmFtZToiRGVwYXJ0bWVudCBvZiB0aGUgVHJlYXN1cnkiKSk%3D&fr=ad> In addition to metrics tied to individual investments, the Department monitors progress against IT Cross Agency Performance measures and reviews these quarterly at the Deputy Secretary level.

### B. Accessibility - Sec. 202(c) and (d)

*The E-Gov Act requires agencies to consider the impact of implementing policies on persons without access to the internet, and ensure accessibility to people with disabilities. Provide the URL(s) for your agency's website which describes actions taken by your agency in accordance with Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d).*

Public Facing Agency URL(s)	Brief Explanation (if necessary)
<a href="http://www.treasury.gov/about/role-of-treasury/orders-directives/Pages/td87-06.aspx">http://www.treasury.gov/about/role-of-treasury/orders-directives/Pages/td87-06.aspx</a>	Treasury Departmental Offices (DO) website for Section 508

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

*The E-Gov Act requires agencies to sponsor activities that use information technology to engage the public in the development and implementation of policies and programs. In no more than 250 words, describe one example of how your agency utilized technology to initiate government-public collaboration in the development and implementation of policies and programs.*

Treasury proactively posts records and information concerning ongoing Department initiatives and current events in advance of requests for such information, for example: • Treasury proactively posts correspondence, reports, statements, press releases, op-eds, and testimony concerning the debt limit (<http://www.treasury.gov/initiatives/Pages/debtlimit.aspx>) . • Treasury routinely publicly discloses information about meetings (<http://www.treasury.gov/initiatives/wsr/Pages/transparency.aspx>) with private sector individuals or entities and nongovernmental organizations for the purpose of discussing policy implementation of the Dodd-Frank Act. Treasury proactively discloses meeting minutes (<http://www.treasury.gov/initiatives/fsoc/council-meetings/Pages/meeting-minutes.aspx>) of the Financial Stability Oversight Council

#### **D. Credentialing - Sec. 203**

*The E-Gov Act seeks to achieve interoperable implementation of electronic signatures for appropriately secure electronic transactions with Government. In no more than 250 words, describe current activities your agency is undertaking to achieve the interoperable implementation of electronic credential authentication for transactions within the Federal Government and/or with the public (e.g. agency implementation of HSPD-12 and/or digital signatures).*

The Treasury Enterprise Identity, Credential, and Access Management (TEICAM) investment provides a consolidated view of identity management activities across Treasury. TEICAM provides Treasury a standard for: - Secure and reliable forms of identification - trusted identity processes - increased security - compliance with laws, regulations and standards - improved interoperability - elimination of redundant processes Early on Treasury/TEICAM established the following goals to work toward: 1) sustain card issuance rate at 90% (FY11-FY15); 2) complete 100% National Capital Region PACS rollout (FY11) and 100% nationwide PACS rollout (FY15); 3) Implement PIV Data Synchronization (PDS) for 3 bureaus (FY11) & department-wide (FY13); 4) complete & deploy a federated Enterprises Single Sign-on (SSO) infrastructure (FY13-FY14) & integrate Enterprise applications (FY13-FY15); 5) LACS Local Network Access at 25% (FY11), 50% (FY12), & 100% (FY14); LACS Remote Access at 50% (FY13) & 100% (FY14). These goals have aligned the Department with required FICAM goals. Additionally, TEICAM has updated & planned for the following investment goals: Design & implement an Enterprise Federation capability across Treasury and its partners in FY15-FY17. Design, & implement a Treasury-wide Visitor Management System for physical access in FY15-FY17. Design and implement an Enterprise Derived Credential issuance capability to support authentication to Treasury services/infrastructure from mobile devices across Treasury in FY16-FY18. Develop an Enterprise Identity Management System approach to support provisioning and de-provisioning needs across Treasury. To increase cost-saving, the Department utilizes interagency resources to authenticate users, synchronize data, and USAccess to provide enterprise-wide compliant PIV credentials.

#### **E. USA.gov activities - Sec. 204 and Sec. 207(f)**

*In accordance with Section 204 of the E-Gov Act, www.USA.gov serves as an integrated internet-based system for providing the public with access to government information and services. In accordance with Section 207(f)(3), provide the URL(s) your agency's activities on www.USA.gov.*

Public Facing Agency URL(s)	Brief Explanation (if necessary)
<a href="http://www.usa.gov/Agencies/Federal/Executive/Treasury.shtml">http://www.usa.gov/Agencies/Federal/Executive/Treasury.shtml</a>	Department of the Treasury page
<a href="http://www.ttb.gov/main_pages/ttb-online-homepage.shtml">http://www.ttb.gov/main_pages/ttb-online-homepage.shtml</a>	Alcohol and Tobacco Tax and Trade Bureau (TTB)
<a href="http://www.usa.gov/directory/federal/bureau-of-engraving-and-printing.shtml">http://www.usa.gov/directory/federal/bureau-of-engraving-and-printing.shtml</a>	Bureau of Engraving and Printing (BEP)
<a href="https://www.usa.gov/federal-agencies/bureau-of-the-fiscal-service">https://www.usa.gov/federal-agencies/bureau-of-the-fiscal-service</a>	Fiscal Service
<a href="https://www.usa.gov/federal-agencies/internal-revenue-service">https://www.usa.gov/federal-agencies/internal-revenue-service</a>	Internal Revenue Service
 <a href="https://www.usa.gov/federal-agencies/department-of-treasury-cc">https://www.usa.gov/federal-agencies/department-of-treasury-cc</a>	Office of the Comptroller of Currency
 <a href="https://www.usa.gov/federal-agencies/department-of-treasury-usm">https://www.usa.gov/federal-agencies/department-of-treasury-usm</a>	U.S. Mint
<a href="http://www.usa.gov/Citizen/Topics/Money/Taxes.shtml">http://www.usa.gov/Citizen/Topics/Money/Taxes.shtml</a>	File your taxes
<a href="http://www.treasurydirect.gov/">http://www.treasurydirect.gov/</a>	Treasury Bill, Notes, and Bonds
<a href="http://www.treasurydirect.gov/">http://www.treasurydirect.gov/</a>	Treasury Department Savings Bonds
 <a href="https://sa2.www4.irs.gov/irfof/lang/en/irfofgetstatus.jsp">https://sa2.www4.irs.gov/irfof/lang/en/irfofgetstatus.jsp</a>	Internal Revenue Service Tax Refund Status
 <a href="http://www.irs.gov/uac/Approved-IRS-e-file-for-Business-Providers">http://www.irs.gov/uac/Approved-IRS-e-file-for-Business-Providers</a>	File Taxes Electronically

**F. eRulemaking - Sec. 206**

*The E-Gov Act seeks to assist the public, including the regulated community, in electronically submitting information to agencies under Federal requirements, by reducing the burden of duplicate collection and ensuring the accuracy of submitted information. In no more than 250 words, provide a description of your agency's use of online electronic regulatory submission capabilities, specifically the usage of www.Regulations.gov and the Federal Docket Management System (FMDS).*

In FY15, the Department posted more than 3,500 public comments received in response to Treasury requests for comments on 72 notices of proposed rulemaking and other proposals. The U.S. Department of the Treasury (Treasury) was an early participant in the e-rulemaking initiative, Regulations.Gov, and has numerous proposed and interim rules and other materials posted for public comment and review on the eRulemaking site. Treasury uses the Federal Register to publish notice of its rulemaking activities. In addition, it posts proposed and final rules to Regulations.Gov, the Federal e-Rulemaking Portal. The public can review, read, and comment on all Treasury postings on the Portal. Treasury has been in compliance with the e-rulemaking requirement by posting proposed and interim rules for public comment on

Regulations.gov on a regular basis. Treasury links to regulations.gov in the footer on every page of Treasury.gov

**G. National Archives Records Administration (NARA) Recordkeeping - Sec. 207(d-e)**

*The E-Gov Act requires agencies to adopt policies and procedures to ensure that chapters 21, 25, 27, 29, and 31 of title 44, United States Code, are applied effectively and comprehensively to Government information on the Internet and to other electronic records. In no more than 250 words, describe your agency's adherence to NARA recordkeeping policies and procedures for electronic information online and other electronic records. Additionally, please indicate the number of electronic records that have been scheduled with NARA and any pending scheduling for electronic systems at your agency.*

To improve management of email records across the Department, Treasury is implementing the National Archives and Records Administration's (NARA) Capstone approach in accordance with NARA Bulletin 2011-03, "Guidance Concerning the use of E-mail Archiving Applications to Store E-mail". This approach was developed in recognition of the difficulty in practicing traditional records management on the overwhelming volume of email that federal agencies produce. This approach will provide Treasury with feasible solutions to email records management challenges, especially as it considers cloud-based solutions. Using this approach an office or bureau categorizes and schedules email based on the work and position of the email account owner. Capstone allows for the capture of records that should be preserved as permanent from the email accounts of high-level Treasury officials. Moreover, the Capstone approach supports the Department of the Treasury's effort to standardize business processes and allows it to comply with the requirement in OMB/NARA M-12-18, Managing Government Records Directive to "manage both permanent and temporary email records in an accessible electronic format." The Office of Privacy, Transparency, and Records in collaboration with the Office of General Counsel and the Office of the Chief Information Officer, is developing new policies, training methodologies, and materials. Full implementation of the Capstone policy is anticipated by December 31, 2016. The Department has provided public access to the information that identifies the disposition authorities for the 1,267 electronic systems. Treasury Department's Records Schedules: <http://www.archives.gov/records-mgmt/rcs/schedules/index.html?dir=/departments/department-of-the-treasury>

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

*The E-Gov Act requires agency websites to include direct links to information made available to the public under the Freedom of Information Act. Provide the updated URL for your agency's primary FOIA website.*

Public Facing Agency URL(s)	Brief Explanation (if necessary)
<a href="http://www.treasury.gov/foia">http://www.treasury.gov/foia</a>	Treasury Department.s primary FOIA website

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

*The E-Gov Act requires agency websites to include the strategic plan of the agency*

*developed under section 306 of title 5, US Code. Provide the updated URL to your agency's IRM Strategic Plan. This plan should encompass activities in FY14. If your agency does not have an updated plan, please provide the URL to the most recent plan and indicate when an updated plan will be available.*

Public Facing Agency URL(s)	Brief Explanation (if necessary)
<a href="http://www.treasury.gov/about/budget-performance/strategic-plan/Pages/index.aspx">http://www.treasury.gov/about/budget-performance/strategic-plan/Pages/index.aspx</a>	The Treasury Information Resource Management (IRM) Plan (and appendix)
<a href="http://www.treasury.gov/about/budget-performance/strategic-plan/Pages/index.aspx">http://www.treasury.gov/about/budget-performance/strategic-plan/Pages/index.aspx</a>	A draft IRM Strategic Plan is in the approval process and will replace the current document when it is approved

**J. Research and Development (R&D) - Sec. 207(g)**

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

Public Facing Agency URL(s)	Brief Explanation (if necessary)
 Treasury does not fund R&D Activities	Treasury does not fund R&D Activities

**K. Privacy Policy and Privacy Impact Assessments - Sec. 208(b)**

*The E-Gov Act requires agencies to conduct a privacy impact assessment; ensure the review of the privacy impact assessment by the Chief Information Officer, or equivalent official, as determined by the head of the agency; and if practicable, after completion of the review under clause, make the privacy impact assessment publicly available through the website of the agency, publication in the Federal Register, or other means. In no more than 250 words, describe your agency's adherence to this provision, including adherence to OMB's guidance pertaining to the use of IT to collect, maintain, or disseminate identifiable information, or when new systems are procured for this purpose. In addition, describe your agency's process for performing and updating privacy impact assessments for IT.*

The Department of the Treasury is committed to protecting the privacy and civil liberties of individuals in all Treasury programs. The Department has a comprehensive process for conducting Privacy Impact Assessments (PIAs). The Department's current guidance for conducting PIAs is provided in Treasury Directive (TD) 25-07, Privacy Impact Assessment. A complete revision of the PIA template is provided for use in TD Publication 25-07. Within Treasury, conducting PIAs are an integral part of the development process whether the program is developing a new system, revising existing technology or revising or instituting a new information collection. The program manager, system owner and/or developer conduct PIAs for

new systems and projects, and of the enhancement or modification of existing systems that collect, maintain or share PII. To facilitate the process and approval of PIAs, PTR developed the Privacy Clearance Tracker on SharePoint. This application gives Treasury the capability to upload PIAs in draft, identify the necessary reviewers to obtain comments, and then expedite the final clearance and approval process in a paperless process. The Deputy Assistant Secretary for PTR is the approving official for the agency. All approved PIAs are then posted to the agency website accessible to the public

**K2. Privacy Policy and Privacy Impact Assessment Links - Sec. 208(b)**

*In addition to the narrative provided above in section K., provide the updated URL(s) for your agency's privacy policy and the website where your agency's privacy impact assessments are available.*

Public Facing Agency URL(s)	Brief Explanation (if necessary)
<a href="http://www.treasury.gov/SitePolicies/Pages/privacy.aspx">http://www.treasury.gov/SitePolicies/Pages/privacy.aspx</a>	Privacy Policy and Privacy Impact Assessment Links
<a href="http://search.treasury.gov/search?affiliate=treasury&amp;commit=Search&amp;query=pia">http://search.treasury.gov/search?affiliate=treasury&amp;commit=Search&amp;query=pia</a>	

**M. Agency IT Training Programs - Sec. 209(b)(2)**

*The E-Gov Act calls for agencies to establish and operate information technology training programs. The act states that such programs shall have curricula covering a broad range of information technology disciplines corresponding to the specific information technology and information resource management needs of the agency involved; be developed and applied according to rigorous standards; and be designed to maximize efficiency, through the use of self-paced courses, online courses, on-the-job training, and the use of remote instructors, wherever such features can be applied without reducing the effectiveness of the training or negatively impacting academic standards. In no more than 250 words, describe your agency's IT training program, privacy training program, cross-agency development programs, and competencies reviews for IT workforce.*

Treasury Learning Management System (TLMS): used for annual training programs, competency reviews, and offers a selection of additional online learning courses for the Treasury workforce to include, but not limited to, IT Security (Cyber), ethics, and Records and Privacy (OPTR). Treasury/OMB CPIC policies, guidelines, and operational metrics training: Sessions for Treasury bureaus include an overview on Treasury/OMB CPIC policies and guidelines, the development of good metrics, metric types, issues with metrics, and Treasury's specific approach to reporting metrics. Treasury then reviewed the metrics with investment owners to identify how they could improve or replace measures that needed further work. The Implementation of the FAC-P/PM program at Treasury has been delegated to the Treasury CIO in Treasury Directive 12-11. At a minimum, bureaus shall apply the FAC-P/PM requirements to all program and project managers assigned to major acquisitions as defined in OMB A-11. Cross-agency development: Employee assignment to the Data Disaggregation Team of the Challenge Team Program sponsored by the Federal Asian Pacific American Council (FAPAC), with participation from the White House Initiative on Asian Americans and Pacific Islanders, the

U.S. Office of Personnel Management (OPM), and the U.S. Equal Employment Opportunity Commission Information on available books: <http://thegreen.treas.gov/news/Pages/DO-Books-24x7-Club.aspx>