# Department of Energy

# FY 1989 Update to the Information Resources Management Review Plan

## FY 1989 - FY 1991 Cycle

### November 1989

**U.S. Department of Energy**
Assistant Secretary, Management and Administration
Deputy Assistant Secretary for Human Resource Management
Office of Organization and Management Systems
Washington, DC 20585

**MASTER**

# FOREWORD

The following Department of Energy (DOE) Fiscal Year (FY) 1989 - FY 1991 Information Resources Management (IRM) Review Plan, Year 1 Update, responds to the requirements of Federal Information Resources Management Regulation (FIRMR) 41 CFR Part 201-19, "Review and Evaluation," and General Services Administration (GSA), Information Resources Management Service letter, same subject, dated June 21, 1989, which called for DOE's report.

The Plan is organized into 5 parts. Part 1 is an introduction to the missions and functions of the Department and its IRM organization, including the objectives of the IRM Review Program. DOE's approach to developing, implementing and adjusting the Plan is described. A summary list of those review areas supporting Governmentwide interest areas and DOE interest areas is also provided. Part 1 concludes with a summary of the Department's FY 1989 experience with the Plan. (Note: Only the concluding section is required by regulation.)

Part 2 contains highlights of the priority review areas addressed by the Department's IRM reviews, including notable benefits resulting from activities in these areas.

In Part 3 the Department presents a compliance analysis of Section 3506, "Federal agency responsibilities," Paperwork Reduction Act of 1980, as amended by the Paperwork Reduction Reauthorization Act of 1986. Here the Department presents its analysis and conclusions on how well the reviews in the Plan evaluate compliance with Section 3506.

Part 4 presents a summary of the Department's plans for the FY 1990 IRM Review Program.

The Plan concludes with Part 5 containing the individual synopses of FY 1989 reviews (as required by regulation) and individual review information sheets for FY 1990 reviews contained in the second cycle Plan published in November 1988. The accompanying "synopsis data sheet" forms are provided as requested by GSA (however, they do not appear in the published Plan). (Note: Only FY 1989 synopses are required by regulation; however, to maintain consistency the Department has chosen to include its FY 1989 - FY 1991 IRM reviews index in this Plan, and to also include the review information sheets for planned FY 1990 reviews.)

Questions or comments concerning the DOE IRM Review Plan should be directed to the:

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# EXECUTIVE SUMMARY

The Federal Information Resources Management (IRM) Review Program was initiated in fiscal year (FY) 1986 to ensure that Federal agencies' IRM activities are selectively reviewed at least once during a triennial review cycle. This requirement is satisfied predominantly by agency-conducted reviews, the primary purpose being to improve the management of information resources so that the agency can accomplish its missions more efficiently and effectively. The Department's first triennial cycle covered the period FY 1986 - FY 1988. The current cycle covers the period FY 1989 - 1991.

IRM reviews may encompass any or all activities of planning, budgeting, organizing, directing, training, and control associated with the creation, collection, processing, transmission, dissemination, use, storage, and disposition of information by agencies. Agencies have been encouraged to take advantage of all ongoing review activity in the IRM area, such as reviews preparing for or resulting from the Office of Management and Budget spring planning and management reviews and/or fall budget reviews; vulnerability assessments and internal control reviews; financial management systems reviews; performance of commercial activity reviews; privacy and security reviews; information collection reviews; records management assessments; and internal audits, among others.

The Department of Energy has completed the first year of its FY 1989 - FY 1991 IRM Review Plan cycle and herein updates its plan for the fiscal years 1989 and 1990. In FY 1989 twenty reviews were completed or were ongoing. Another 19 are scheduled for FY 1990. The reviews particularly focus on several Governmentwide priority areas (information management, telecommunications, end user computing, software modernization/management, electronic filing, major information systems) and on priority review areas identified by the Department (ADP management, information collections management, quality assurance, and regulations burden management).

In FY 1989 the Department continued its DOE-wide effort to lead its managers to closely examine their information resources activities and requirements and to reduce requirements to the absolute minimum. The Department, through management initiatives and functional management reviews, continued to improve the management of its information resources in several areas. For example:

(1)  Information/data collections were systematically reviewed in accordance with the Department's Information Collection Review (ICR) process, resulting in a net reduction of 14.58% for paperwork burdens imposed on the public (1.3 million hours), which represents estimated savings of $123.5 million.

(2)  Inspector General (IG) audits focused on improving the management of IRM resources by reviewing a variety of information management aspects including ADP workload, computer networking and telecommunications services, cost recovery, security and internal controls, and cost effectiveness and efficiency.

(3)  ADP management reviews focused on determining the extent of compliance with Departmental and site-developed directives concerning the management of ADP resources. The reviews served to assure management that 7 facilities were in substantial compliance with DOE policies and procedures.

(4)  Performance of Commercial Activities (A-76) reviews of information and records management activities determined whether in-house performance or contractor operation of IRM activities was more economical. An annual savings of over $197,000 and 7 Full-Time Equivalents (FTE's) was realized by realigning 2 IRM activities.

(5)  Records management program reviews focused on identifying vulnerable points in the records life cycle, and identifying and tracking corrective actions and new initiatives which resulted in the approval of several significant records schedules, improvements in records transfer and storage arrangements, and pilot testing an electronic forms system, among other things.

(6)  Periodicals and public communications (A-3) reviews of DOE publications, among other things, were aimed at reducing or stabilizing the number and cost of DOE-funded publications distributed to a non-Federal government audience, and the purging of mailing lists.

(7)  Telecommunications reviews focused on improving the overall performance and efficiency of the voice and data communications and spectrum-dependent programs, reducing costs, and promoting measures of sound management practices to avoid waste, fraud, and abuse. New national/DOE Emission Security (TEMPEST) policy and procedures which were adopted streamlined equipment and facility testing and selection, realizing cost savings estimated to be in excess of $2 million.

(8)  Office automation/end user computing reviews served to ensure the attainment of the full benefits possible from the use of end-user computing technology resulting from the preparation and employment of a site-prepared comprehensive statement of strategy approved by senior management officials.

(9) Internal control reviews and financial management system reviews focused on whether obligations and costs were in compliance with applicable laws; funds, property and other assets were safeguarded; revenues and expenditures were properly recorded and accounted for; program and operational objectives were carried out consistent with program direction and funding documents; or whether all components of the Department's financial management system were in compliance with A-127 objectives.

(10) Software modernization/management reviews were aimed at ensuring that Departmental policies were being administered in accordance with its management directives which are in place to facilitate the operation and maintenance of the most modern, state-of-the-art set of software as is economically feasible and cost-effective.

(11) Reviews of major information systems (IS) apprised DOE management of the efficiency and effectiveness of several of its important IS and identified opportunities for improvement.

(12) Electronic filing processes showed positive results in the Energy Information Administration and in the Department's Financial Information System.

(13) A phased regulations review program continued to identify and reduce or eliminate, where possible, those paperwork burdens imposed on the public as a result of DOE regulations and associated statutes, with resulting plans to remove or modify a number of existing regulations in FY 1990.

In FY 1989 IRM reviews and reviewers continue to challenge managers to validate their information resources needs, including data/information itself and other IRM-related resources such as personnel, funds, and equipment. And, at the same time, reviews and their results have focused increasing attention on the principles, techniques, and technology which can help DOE managers to improve their information processes and systems. The public, too, has benefited insofar as the reviews have resulted in substantial paperwork burden reductions and have served to foster a growing awareness in the Department of the paperwork burden DOE places upon the public.

In FY 1990 the Department of Energy will continue to review its experience with the Plan and will endeavor to apply lessons learned to its evolving IRM Review Plan.
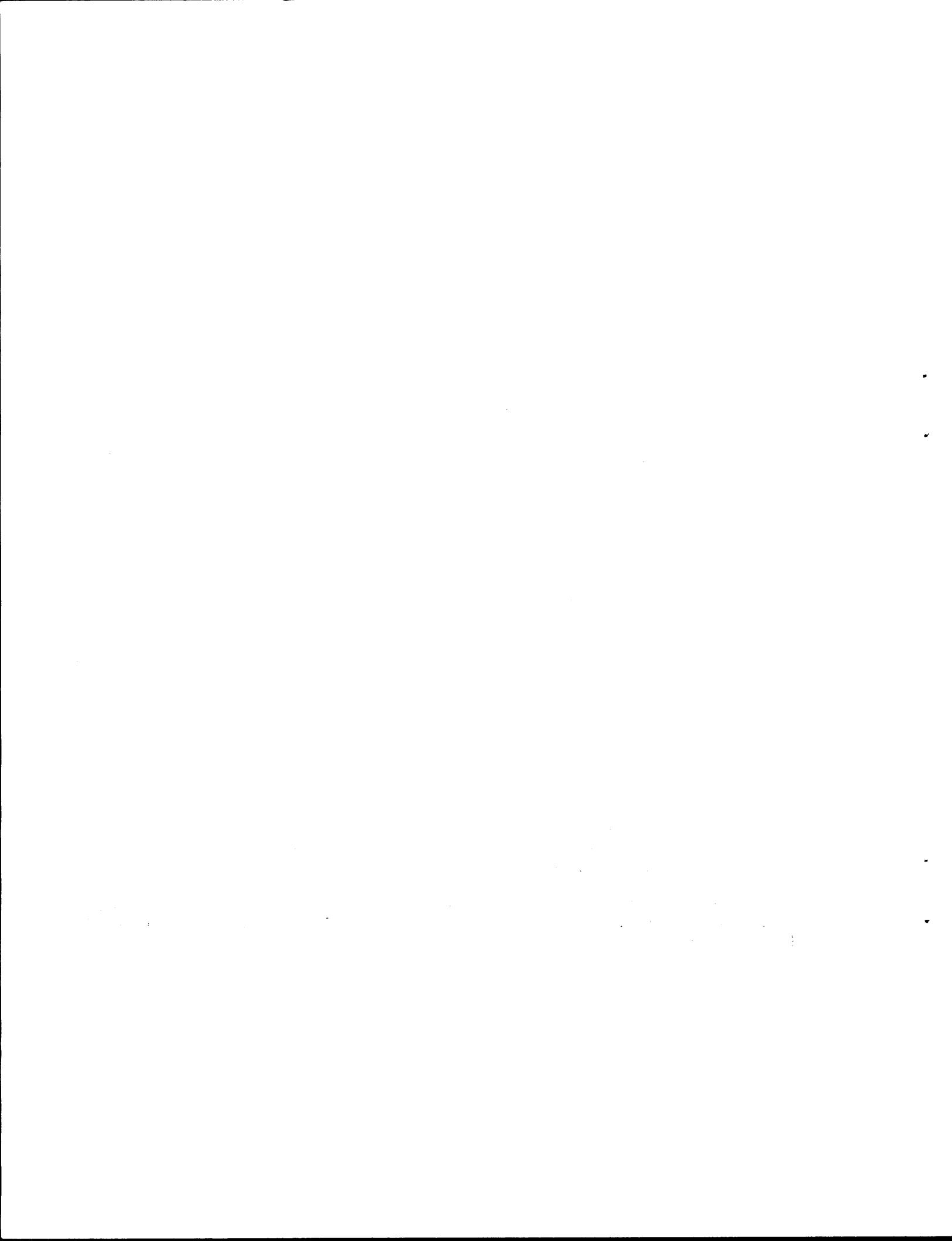
YEAR 1 UPDATE TO THE DEPARTMENT OF ENERGY
INFORMATION RESOURCES MANAGEMENT (IRM) REVIEW PLAN
FY 1989 - FY 1991

## PART 1. INTRODUCTION AND FISCAL YEAR 1989 SUMMARY

### The Department of Energy (DOE).

The DOE is a multidimensional organization with diversified missions and
programs relating to energy. From the production of nuclear warheads and
special nuclear material; the enrichment of uranium for fuel for the country's
nuclear reactors; the marketing of electricity through the Power Marketing
Administrations and the moving of the nation's oil reserves in and out of the
ground; to the conduct of research in its National Laboratories and Energy
Technology Centers on such devices as accelerators (atom smashers), fusion
energy machines, nuclear test facilities, gasifiers, and other combustion
machines; the Department engages in a myriad of information activities
utilizing, in many cases, state-of-the-art information technologies. Other
functions, including policy development, regulation, energy information
collection and dissemination, conservation promotion, international
cooperation, facilities and materials management, environment and security
management, also involve many information activities. The DOE is a large
complex of government and contractor personnel spread across the U.S. Whereby
the DOE employs about 16,000 Federal personnel, it also oversees the work of
about 130,000 dedicated contractor employees at government-owned facilities.

### IRM Policy.

The policy of the Department with regard to Information Resources Management
(IRM) is broad and evolving. It is the policy of DOE, that the resources
expended for the development, manipulation, transmission, storage, use and
disposal of information be utilized in the most effective and efficient manner
consistent with applicable laws and regulations in carrying out the
Department's mission and programs.

### IRM Organization.

For the most part, all of the information management policy and oversight
functions are assigned to the Assistant Secretary, Management and
Administration (see Figure 1), and the Assistant Secretary is designated as
the Senior Agency IRM Official under the Paperwork Reduction Act of 1980. The
Director of Organization and Management Systems, through the Deputy Assistant
Secretary for Human Resource Management, has been assigned management
responsibility for coordinating the DOE Information Resources Management (IRM)
Program including the various surveys, reviews, and inspections as may be
required in monitoring IRM review program activities.

**Department of Energy**
**IRM Policy Functional Relationships**

**Office of Public Affairs**
- ► Dept. Public Communications
- ► Dept. Pamphlets
- ► Dept. Audiovisuals

**Assistant Secretary, Management and Administration (IRM SENIOR OFFICIAL)**

**Administrator, Energy Information Administration**
- ► Energy Information
- ► Information Collection Budget (EI section)

**Deputy Assistant Secretary for Human Resource Management**

**Director, Office of Organization and Management Systems**
- ► Dept. IRM Planning & Policy
- ► Dept. Information Collection Budget (ICB)
- ► Dept. Records Management
- ► Dept. Directives, Fed. Register, & Corresp. Mgt.
- ► Dept. Reports & Forms Mgt.

**Deputy Assistant Secretary for Administration**

**Manager, Office of Scientific and Technical Information**
- ► Dept. Scientific & Technical Information

**Director, Office of Administrative Services**
- ► HQs Records Mgt.
- ► Dept. Printing & Publications
- ► Dept. FOIA & Privacy Acts
- ► Dept. Libraries
- ► HQs Mail/Msngrs.

**Director, Office of ADP Management**
- ► Dept. Policy:
  - Computing Resources
  - Software
  - Unclas'd Computer Sec.
- ► Dept. ADP Standards

**Director, Office of Computer Svcs. & Telecommunications Management**
- ► Dept. Telecommunications
- ► HQs ADP Services
- ► Dept. Electronic Mail
- ► HQs Pers. Computers & Office Automation

Figure 1

IRM Review Program Objectives.

Objectives of the DOE IRM Review Program are to:

1.  Assure that the Department is in compliance with information management laws and regulations; and to

2.  Provide a basis by which periodic assessments can be made on the efficiency and effectiveness of information resources management activities supporting program missions and objectives.


Development of the IRM Review Plan.

Federal Information Resources Management Temporary Regulation 10 (FIRMR TR-10) of 1-22-85 (41 CFR Chapter 201) established the requirements for the development of an initial 3-year IRM review plan.  Agencies were encouraged to take advantage of all ongoing review activity in the IRM area in meeting the requirements of the regulation.  Agencies were further instructed to focus on a number of Governmentwide interest areas in addition to those priority areas identified by the agency.  41 CFR Part 201-19 superceded FIRMR TR-10, and sets forth the current regulation on "Review and Evaluation."

DOE continues to approach its IRM Review Plan process in a systematic manner, and has identified a three-phase evolution of its second triennial Plan:

Phase I   -  Inventory and assess existing reviews of IRM activities to assure DOE is in compliance with regulations.  Determine if scope and number of reviews are adequate and represent a reasonable balance. Adjust reviews for year 2, as required.

Phase II  -  Identify IRM areas needing additional attention and initiate reviews.  Update Inventory as appropriate.  Assess use of reviews with regard to mission requirements, vulnerabilities and Governmentwide initiatives, and coordinate adjustments for year 3.

Phase III -  Analyze review results, impacts, and effectiveness of the IRM review program and prepare report of the initial 3-year effort. Formulate third triennial review efforts.


Priority Review Areas.

The FY 1989 - FY 1991 IRM Review Plan (November 1988) contains those reviews which support of the following FY 1989 Governmentwide priority initiatives:

1.  Information Management

2.  Telecommunications

3. End User Computing - Office Automation

4. Software Modernization/Management

5. Electronic Filing

6. Major Information Systems

In addition reviews in support of other Departmental IRM priorities were also
included:

7. Quality Assurance

8. ADP Management

9. Information Collections Management

10. Regulations Burden Management


Reviews Planned and Completed.

The Department of Energy IRM Review Plan published in November 1988 projected
26 planned IRM reviews for FY 1989. The Summary of FY 1989 Reviews by Review
Type and Review Category (see Figure 2) enumerates the areas focused on by
these reviews. Generally, 70% of the 20 active reviews were identified as
"IRM-"type reviews; other "types" identified are internal control reviews
(10%); vulnerability assessments (5%); A-76 reviews (5%); financial management
reviews (5%); and "others" (5%).

Reviews focused attention in the following "review categories" (which include
all of the Governmentwide priority review areas and DOE priority review
areas): information management (10 reviews); major information systems (6
reviews); ADP management (5 reviews); security (4 reviews); end user computing
(4 reviews); quality assurance (4 reviews); software management (4 reviews);
telecommunications (3 reviews); records management (3 reviews); information
collections (2 reviews); publications management (1 review); planning and
budget (1 review); and regulations burden management (1 review).


Continuing the IRM Review Plan Strategy.

The Department of Energy has now completed the first year of its second
triennial Information Resources Management (IRM) Review Plan cycle. The
overall long-range strategy, defined in the first triennial cycle, continues.
This strategy, to improve the management of DOE information resources,
includes focusing on ways to increase management awareness of and concern for
the burgeoning cost of information resources, particularly costs associated
with unneeded or redundant information resources.

# U.S. DEPARTMENT OF ENERGY

## SUMMARY OF FY 1989 REVIEWS BY REVIEW TYPE AND REVIEW CATEGORY

| NO. IN PLAN | NO. COM-PLETED | | REVIEW TYPE | NO. IN PLAN | NO. COM-PLETED | | REVIEW CATEGORY |
|---|---|---|---|---|---|---|---|
| [14] | [ 8] | 1. | IRM | [ 3] | [ 1] | 1. | TELECOMMUNICATIONS |
| [ 2] | [ 0] | 2. | INTERNAL CONTROL REVIEW (A-123) | [ 4] | [ 2] | 2. | END USER COMPUTING |
| [ 1] | [ 1] | 3. | VULNERABILITY ASSESSMENT (A-123) | [ 4] | [ 3] | 3. | SOFTWARE MODERNIZATION/MANAGEMENT |
| [ 0] | [ 0] | 4. | INSPECTOR GENERAL AUDIT | [10] | [ 3] | 4. | INFORMATION MANAGEMENT |
| [ 0] | [ 0] | 5. | SECURITY (A-130) | [ 2] | [ 1] | 5. | ELECTRONIC FILING |
| [ 1] | [ 0] | 6. | PERFORMANCE OF COMMERCIAL ACTIVITIES (A-76 REVIEW) | [ 6] | [ 4] | 6. | MAJOR INFORMATION SYSTEM |
| [ 1] | [ 0] | 7. | FINANCIAL (A-127) | [ 0] | [ 0] | 7. | COMPLIANCE WITH PRA SECTION 3506 |
| [ 1] | [ 0] | 8. | OTHER___Publications Management___ | [ 5] | [ 3] | 8. | ADP MANAGEMENT |
| | | | | [ 4] | [ 3] | 9. | SECURITY |
| | | | | [ 3] | [ 0] | 10. | RECORDS MANAGEMENT |
| | | | | [ 9] | [ 5] | 11. | OTHER<br>- Information Collections (2)<br>- Quality Assurance (4)<br>- Publications Management<br>- Regulations Burden Management<br>- Planning and Budget |

Figure 2

Secondly, there is a continuous focus on ways to increase the efficiency and effectiveness of creating, collecting, using, maintaining, and disposing of information within the Department. The strategy is particularly concerned with effecting the prudent upgrading of information technology and systems.

In FY 1989 functional management reviews continually served to ensure that managers seriously consider the cost of their information resources needs. For example, to ensure that DOE systems did not overlap each other, DOE reviews emphasized the development and use of standardized, uniform information systems. Reviews helped to ensure that valuable resources were not wasted to develop and establish independent, stand-alone systems to obtain and use data and information which was or could be available in a standardized, uniform system. For instance, the DOE Single Integrated Financial Management System (SIFMS) continued to evolve into a number of components which have eliminated the need for and costs of a myriad of other redundant information systems. Periodic reviews of SIFMS components, consisting of the Departmental Funds Distribution System, the Financial Information System, the Payroll/Personnel System, the Departmental Integrated Standardized Core Accounting System, the Departmental Budget Formulation System, and the accounting systems supporting the Power Marketing Administrations, precluded the potentially larger number of systems and required IRM reviews which would be necessary if it were not for the SIFMS.

Another example of how IRM reviews helped to carry out the strategy to improve the management of DOE information resources (through increased awareness of the costs involved) included the employment of the DOE Information Collection Budget (ICB) review process and the information collections review program. When managers had a perceived need to collect information from the public they were subject to the Department's information collections review process which functions within the parameters of the DOE ICB. Thus, the manager was faced with decisions concerning the value of his/her information needs as various reviews and administrative controls engaged to challenge the collection, use, maintenance, and disposition of the "needed" information. Too, the information collection requests were subject to the overall burden-hour ceiling imposed by the DOE ICB. Faced with compliance with ICB requirements, managers were made acutely aware of the high cost of information resources and were challenged to minimize the paperwork burden on the public. Consequently, the Department exceeded by 10% its mandated reduction target of 5%, with burden hour savings estimated at $123.5 million.

Increasing efficiency and effectiveness through the upgrading of information technology and systems - the second component of the long-range strategy - continued to achieve results in FY 1989. At the beginning of the fiscal year DOE had an inventory of 509 operational automated information systems. An analysis of the data over the prior 3 years indicated that the number of automated systems supporting integral functions had increased. The number of

program and management IS had gone from 25 to 40; operations IS had gone from 18 to 24. The number of systems supporting activity-oriented functions also increased over the prior year. The functional category showing the greatest increase was the administrative category (186 to 198 IS), followed by the procurement category (29 to 42 IS). Also, at the beginning of FY 1989 the Department had 3,454 computers installed (those with a purchase equivalent of $50,000 or more). Computing capacity increased by over 7% from FY 1988 to FY 1989. The Department's growing dependence on computers also increased demand for telecommunications facilities.

The sundry ongoing DOE IRM reviews associated with the component parts of the DOE Information Technology Resources Long-Range Plan helped to ensure that information systems, computing resources, and telecommunications resources needs will be adequate to support the future accomplishment of mission objectives.


## Progress Towards Achieving IRM Review Plan Objectives.

FY 1989 IRM reviews continued towards the objective to provide substantial assurance that DOE is in compliance with IRM-related laws, regulations, and directives. Indeed, a primary aspect of any DOE IRM review continues to be the validation of compliance with applicable laws, regulations, and directives governing the conduct of the function being reviewed. Also, progress towards achieving this objective is further substantiated by the DOE self-analysis of its compliance with section 3506 (agency responsibilities section) of the Paperwork Reduction Act, as amended (see Part 3 of this Plan).

The Department's first triennial review program, which ended last year, was followed by a DOE assessment of the efficiency and effectiveness of its IRM activities, particularly review activities, which supported program missions and objectives. The assessment, by and large, achieved the intents and purposes of the second IRM review program objective. The assessment also provides a benchmark as the Department continues to pursue this objective in the current triennial review cycle.
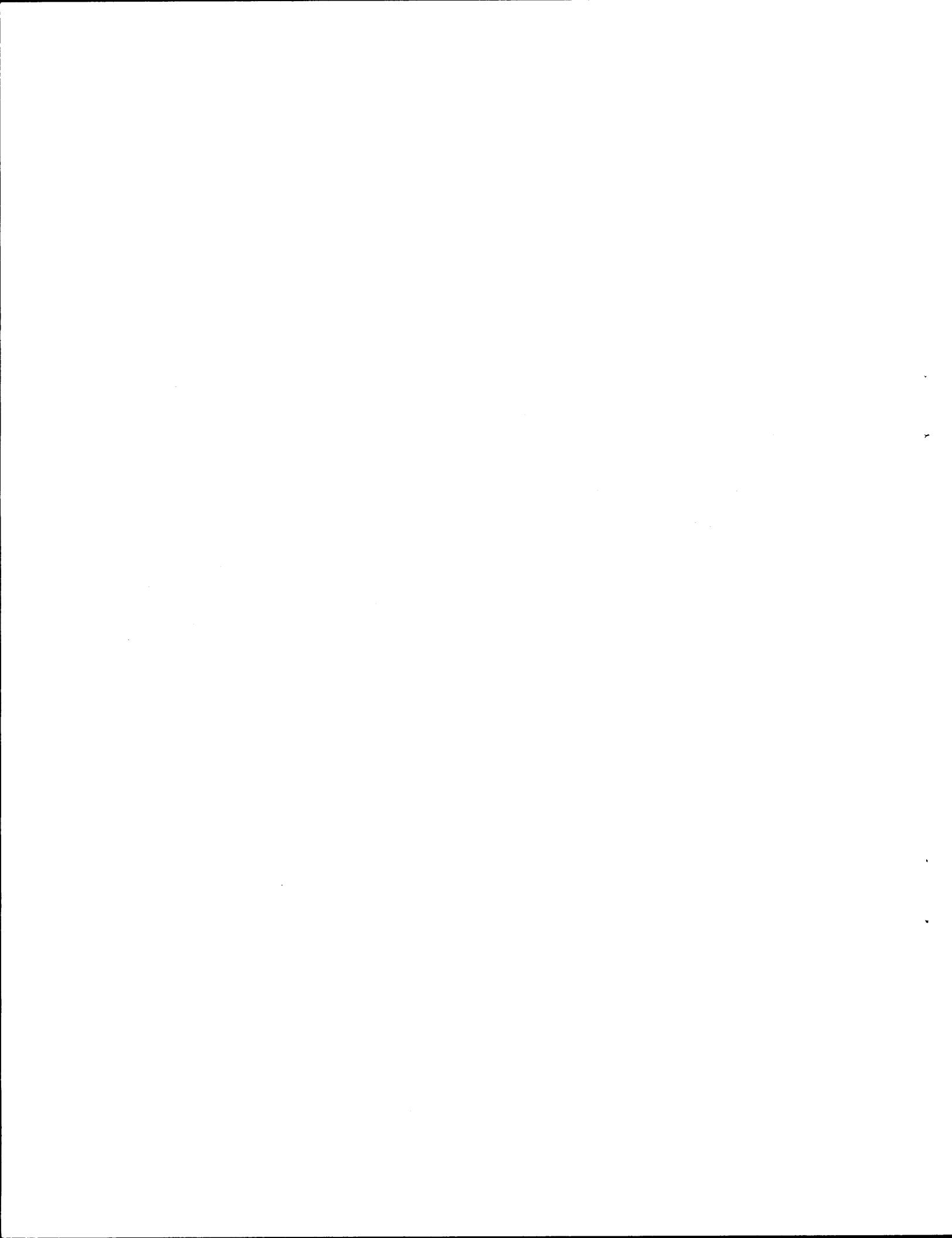
YEAR 1 UPDATE TO THE DEPARTMENT OF ENERGY
INFORMATION RESOURCES MANAGEMENT (IRM) REVIEW PLAN
FY 1989 - FY 1991

**PART 2: ASSESSMENT OF PRIORITY REVIEW AREA ACTIVITIES, FY 1989**

Information Management.

The Department of Energy has espoused an overall long-range strategy for improving the management of its information resources and activities. The core of this strategy is a recognition that information can be a costly and sometimes scarce resource that must be managed with great care and skill. It is necessary, therefore, to continually reinforce the idea to Departmental management at all levels that it is necessary to manage information with the same diligence that they manage personnel, funds, and equipment.

The Department reinforces this recognition of the cost of information resources by increasing management awareness and concern for the expenditure of unnecessary resources which are incurred when managers seek more information than they reasonably need to carry out their management functions. In FY 1989 the Department continued to require its managers to closely examine their information requirements and to reduce them to an absolute minimum consistent with program requirements.

Actions directed at improving the management of information resources and reducing the information acquired for management purposes included:

o   Publications.  In accordance with OMB Circular A-3, Government Publications, OMB Bulletin 88-10, Report on Government Information Dissemination Products and Services, and DOE Order 1340.1A, Management of Public Communications Publications, and Scientific, Technical, and Engineering Publications, each proposed DOE-funded publication to be distributed to a non-Federal government audience must be submitted to the DOE Office of Public Affairs for a review prior to printing. New periodicals require a written justification. Mailing lists are purged annually. The Department maintains an inventory of periodicals, costs of publications, and an inventory and costs of electronic information disseminated (DOE Review 89-16).

o   Records Management.  The records program has, over the past year, been marked with both accomplishments and new challenges. Based on the use of workgroups composed of Federal and management and operating contractor records officers, several significant accomplishments were notable, including the approval of records schedules covering research and development, contractor personnel, contractor training, and several other site-specific series of records. The National Archives has

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agreed to accept unscheduled records in its Federal Records Centers from four major field offices of the Department, and in a number of cases, it has accepted contingent records. The records program was further analyzed and its activities documented by a National Archives and Records Administration evaluation, which was formally presented to the Department in January 1989. This review brought many issues into sharper focus and allowed the Department to improve its prioritization of the many tasks it faces in a dynamic environment.

Work underway as a result of the March 1989 records workshop includes electronic records; rewrite of several directives; a new look at the vital records protection program; a study, as a minimum, of the schedules in the Departmental Orders; work on the issue of Quality Assurance; and letting of a contract to study the issues records management appraisals, training, and standardizing evaluation criteria. In the face of diminishing Federal resources, the Department has a significant number of top priority tasks in its records program. The reporting cycle required by the National Archives evaluation, while potentially burdensome, will keep the Department on track to continue its striving towards a better records management program (DOE Review 89-07; also see 89-02; 89-13).

o  Quality Assurance. Quality Assurance (QA) was added as a priority review area in the IRM Review Plan primarily because its implementation in the Department impacts substantially on records and documentation management. Over the past two years, the office responsible for QA has been in contact with the DOE records office. Slow progress has been made to attempt to define the specific responsibilities of each office in regard to the part each plays in QA. In addition, the QA office has been using contractor teams in the field to implement QA. These teams have pointed out in their inspections those instances of apparent deficiencies in the records area concerning QA. These teams are using an American National Standard, specifically, Quality Assurance Program Requirements for Nuclear Facilities (ANSI/ASME NQA-1 1986 EDITION, as amended), as their guide. It has been determined that the standards cited therein are not totally in compliance with the records management regulations published by the National Archives and Records Administration. A dialogue has begun to resolve these inconsistencies, the most obvious of which are in the language describing the retention of documents and the storage facility requirements. The other issue of concern to the Department is the appropriate placing of responsibility for the processing of QA documents, which is labor intensive. Clear lines of authority must be drawn and responsibilities must be articulated carefully to avoid costly duplication of effort and incorrect guidance to the field offices and operating contractors. New policies, as well, are needed to cover QA and its relationship to the records program. This task, among others, has been assigned to one of the several workgroups established at a March 1989 DOE records workshop (DOE Review 89-07).

From another perspective on QA, the Energy Information Administration's Quality Assurance Program, based on a continual cycle of evaluation, is aimed at the development of improved methods and implementation of the improvements. EIA's evaluation efforts include pre-publication review by staff and Independent Expert Reviewers of all EIA publications; audits of all EIA data systems and models; and comparative assessments of the data and forecasts generated by EIA. These evaluations often result in formal recommendations for action on the part of the responsible office. In other cases, these evaluations identify technical issues that require applied research and development for their resolution.

In recent years EIA has conducted research into expert systems, match-merge algorithms, multi-period confidence interval for forecasts, experimental economics, and bootstrap methods for the purpose of improving the quality of EIA's information products. The EIA QA Program also involves ongoing efforts to make sure that improvements are adopted. Those with an EIA-wide impact are often adopted in the EIA standards manual which covers all EIA employees and contractors. Improvements that are specific to a data collection or forecasting effort are usually handled by formal recommendations which are concurred in by the responsible office, and their progress is tracked by the EIA Administrator's office (DOE Review 89-02; also see 89-17).

o   <u>Performance of Commercial Activities (A-76) Reviews</u>.  In FY 1989 the Department completed reviews of two IRM activites that began in FY 1988. These commercial activities performed by Departmental personnel were reviewed to determine whether in-house performance or a contractor operation was more economical. A major product of A-76 studies which require a cost comparison was the design and development of a most efficient in-house organization for performing the work under study. Important elements were also incorporated into the statement of work which became a part of the contractual document and governs contractor performance. Higher level management review of the study products assured that information resource management considerations had been adequately covered and could be carried out. An annual savings of $197,090 and 7 FTE's was realized by realigning two IRM activities and making them less expensive to retain operations in-house than to contract them out. Another five A-76 IRM reviews have milestones and schedules established for FY 90 (DOE Review 89-15).

o   <u>Information Collections Management Program</u>.  In Fiscal Year 1989 the Department achieved a net reduction of 14.85 percent for paperwork burdens imposed on the public, particularly the management and operating contractor (M&O) facilities and laboratories. These reductions were achieved principally by eliminating reporting requirements no longer dictated by law or required for management

purposes in the management and procurement areas; and by eliminating data elements and implementation of new data methodologies by the Energy Information Administration.  This effort has reduced the 9.1 million hour inventory of paperwork burdens levied on respondents by approximately 1.3 million hours and represents a total savings estimated at $123.5 million.  It should be noted that the Department exceeded (by nearly 10 percent) the congressionally mandated 5 percent reduction target set forth in the Paperwork Reduction Act of 1980, as amended (DOE Reviews 89-01; 89-20).

The second aspect of the Department's long-range strategy for improving IRM involves increasing the efficiency and effectiveness of handling information within the Department.  This acts to ensure timely availability of information to decision makers at the lowest feasible cost.  Of course the upgrading of information technology and systems is dependent upon available resources.  The overall responsibility for planning and implementing new technology and systems rests with the line management of the organizations concerned.  Their responsibility also includes ensuring that their information systems meet the various statutory and other requirements regarding privacy, security of information, appropriate accessibility, and so on.

Reviews of these efforts are more specifically highlighted in the following sections.  These reviews are grouped to correspond with the remaining parts of this assessment.

o  Telecommunications.  The DOE Headquarters, through the Office of Computer Services and Telecommunications Management, is responsible for providing policy guidance and management oversight for DOE telecommunications nationwide.  DOE continues to examine current telecommunications activities and requirements with a view to consolidate services and achieve cost savings.  By combining several existing and planned telecommunications services, a Departmentwide transport network has been established.  This network, called the Department of Energy Nationwide Telecommunications Services (DOENTS), uses satellite and wide band terrestrial services to provide voice, data, and video services.

The DOENTS satellite backbone system, using advanced satellite communications technology, has been operational at four major DOE locations since May 1986.  The addition of two nodes at Oak Ridge and Nevada in FY 1990 will utilize a full transponder (60 Mbps) to handle the increased traffic loads.  This system has demonstrated superior reliability and plays a significant role in the provision of national security emergency preparedness (NSEP) voice and data communications for the Department.  The DOENTS Eastern and Western Area terrestrial T-1 networks provide data and voice circuits supporting 24 64 Kbps channels at an output circuit speed of 1.544 Mbps.  These networks serve as major communications links between DOE production facilities

and field offices.  Implementation of these networks has resulted in a significantly lower cost than comparable services from commercial carriers.

The move throughout the planning period in the telecommunications area is toward in-depth examination of options to current leasing arrangements, and toward making appropriate decisions as to the course of action.  Commitments to acquire onsite information exchanges, either via direct purchase, lease-to-ownership, or continuing lease arrangement, will be driven by business-directed decisions involving long-term operation and maintenance costs, amortization factors, and growth and flexibility determinations.

Long distance services have been traditionally supplied to DOE through the Federal Telecommunications System (FTS) and limited access to the public network.  The upgraded technology of the FTS (FTS 2000) has been endorsed by DOE, who serves as a member of the Advisory Committees. DOE is also in the final stages of preparation to transition to the new FTS 2000 System.

Local data communications solutions differ widely due to the variety of computing systems and user requirements at DOE locations.  In every instance, emphasis is placed on service and the most cost-effective method of providing the service.

The Departmental Headquarters continuously coordinates and very carefully scrutinizes the radio frequency spectrum requirements of Departmental Elements.  Where possible, to conserve spectrum resources in compliance with national policy, functions are performed by using contracted commercial resources, rather than Government allocated frequencies.

Communications Security (COMSEC) within the Department includes a full range of managerial, operational, and technical solutions for the security and protection of information.  Use of new technologies, such as embedded COMSEC devices and Secure Telephone Unit III equipment, will provide high security at low cost.  A total of 4,000 units will be installed throughout the Department by 1991.  All of the KG-13 COMSEC equipment used by the Department has been replaced with KG-84A equipment.  New national/DOE Emission Security (TEMPEST) policy and implementing instructions which were adopted further streamline the equipment and facility testing and selection, thus realizing additional increased cost savings estimated to be $2,054,416.

Telecommunications resources are essential elements to an effective National Security Emergency Preparedness (NSEP) posture and response capability.  The Department strives for telecommunications resources that will provide essential and emergency telecommunications to support

Departmental statutory functions during war emergencies, operational emergencies, or energy emergencies. Guidance for developing budgets for NSEP programs and planning for telecommunications during emergencies is currently being developed within the Department.

Headquarters is working closely with the National Communications System and the Department of Commerce regarding assignment of restoration priorities for wire and radio communications circuits during times of emergency. An NSEP Telecommunications Procedural Guide is also being developed to assure that all sites will be kept fully informed on NSEP requirements and directives in the future.

o Telecommunications Management Review of Three Field Sites. DOE conducted three reviews covering all telecommunications functional areas at three locations in FY 1989. These reviews assessed compliance with applicable Federal and DOE regulations, directives, and policy guidelines; program and operating efficiency, budgeting, and long-range planning; and oversight of Government contractors. The Office of Computer Services and Telecommunications Management conducted these reviews. The reviews found general compliance with applicable DOE requirements, and organizations and staffing are commensurate with the overall management philosophy for DOE contractor-operated facilities. Reviews have been well received by the field and have led to increased cooperation and program efficiency. One significant recommendation was for sites to ensure that telecommunications appraisal programs are implemented for area offices and contractors under their purview (DOE Review 89-11).

o Evaluation of DOE's Land-Based Nationwide Telecommunications Network. This review, conducted by the Inspector General, examined the Department's telecommunications project management policies, DOENTS systems proposals, operating costs, usage records, and the management process established to implement and operate the DOENTS network. The Inspector General audit concluded that DOENTS circuits were not being replaced or terminated in a timely manner because centralized management principles were not being followed in the implementation of the networks, and that DOE had incurred unnecessary costs due to delays in replacing and terminating unneeded circuits. While the Inspector General and DOE Telecommunications agreed that implementation of these land-based networks could result in significant cost savings, DOE Telecommunications did not agree with all conclusions and recommendations (DOE Review 89-22).

o Automatic Data Processing (ADP) Management. The Department has established an aggressive ADP management review program. This program consists of reviews of the ADP management function by the Headquarters Office of ADP Management at each of the operations offices, as well as sites not reporting through an operations office. Reviews are conducted on a 2-year cycle at the operations offices and a 3-year cycle at other sites not reporting through an operations office.

Fiscal Year 1989 reviews encompassed the functional areas of computing resource management, information system development, and the unclassified computer security program. The ADP management reviews focused on determining the effectiveness of each organization in carrying out its delegated responsibilities and, where appropriate, the need for new policy relating to planning, budgeting, acquisition, and use of these resources. The findings and recommendations were briefed to management following completion of the evaluation and also resulted in a written report to site management.

In FY 1989 these reviews served to assure the Department that seven facilities were in substantial compliance with Departmental policies and procedures (DOE Review 89-9).

ADP security reviews aimed at assuring compliance with applicable laws, regulations, directives, and standards for the implementation and maintenance of unclassified automated information systems security are typically included as an important aspect of ADP management reviews as well as in Inspector General ADP audits, internal control reviews, major information system reviews, end user computing/office automation reviews, and vulnerability assessments. The FY 1989 automated IS reviews of the Integrated Payroll/Personnel System (PAY/PERS) found the system to be well managed. The FY 1989 review report of the Waste Information Network (WIN) is currently being completed (DOE Review 89-10).

o  Software Management/Modernization. DOE uses its management directives system to establish a policy framework which leads directly to the maximization of the effectiveness of its software base while minimizing the maintenance costs associated with its operational software. In this way, the Department is assured that it is operating and maintaining as modern, state of the art and efficient set of software as is economically feasible and cost-effective.

By administering existing Departmental policies, system managers are held responsible for certain actions throughout the software life cycle. These responsibilities form a structure, similar to the standard found in the Federal Information Processing Standard Publications 38 and 64, which provide the framework within which the appropriate activities are performed and necessary deliverables produced. These documents include a problem/requirement definition paper, project work and cost plans, system development requests, a feasibility study, an analysis of benefits and costs, functional and data requirements, system/subsystem specifications, user and operations manuals, and software maintenance manuals. These documents establish and maintain communications among the original system requestor, users, software developers, and software maintenance personnel. These detailed documentation standards ensure written communications links

throughout the entire software life cycle and help keep the costs of software development and maintenance to an absolute minimum.

DOE Order I330.1B, published February 8, 1989, contains several specific policies and procedures which contribute to keeping the Departmental software base as modern as possible. The directive encourages the use of the most modern software development and maintenance technologies and methodologies available, which have been shown to be effective during all phases of the software life cycle. This includes the use of such new techniques as prototyping of new system developments and enhancements, developing a logical model of the data resource used, the use of what are known as "fourth generation languages," and the use of "programmer workbenches," which includes modeling and data dictionary support tools. The directive also calls for the review, at least once every 3 years, of every operational automated information system maintained by the Department. The purpose of these reviews is to determine the extent to which they continue to meet their intended objectives and to assess their efficiency and cost-effectiveness. Responsibility for these reviews has been delegated to each Departmental component responsible for software maintenance, assuring that those most knowledgeable about the requirements being addressed by the software are the ones judging its appropriateness. Also required by this directive is the establishment of an effective life cycle management methodology and set of control procedures for the acquisition, development, enhancement, and implementation of automated information systems which support the Department.

The Office of ADP Management conducts management reviews of all of the Departmental component organizations on a periodic basis. One of the purposes of these reviews is to assure that the above described policies and procedures are being carried out appropriately. Also, these reviews provide feedback to the office as to any modifications or revisions which may be needed to assure that the policies and procedures are having the desired effects on those organizations which are responsible for implementing them. In this way, the Department is assured that those organizations operating and maintaining its software base are utilizing state of the art software management techniques as appropriately as possible (DOE Reviews 89-09; 89-17; 89-22; 89-25).

o  Unclassified Computer Security Program. DOE represents one of the largest, most diverse, and highly decentralized computer environments in the Federal Government. These conditions could normally be expected to add to the complexity and length of time necessary to implement an effective unclassified computer security (UCS) program. However, the Department is widely recognized as having one of the most advanced and successful UCS programs in the Federal sector. The success of the

Departmental UCS program is attributed to a fundamental policy statement, an appropriate organizational structure, and an effective compliance assurance process.

Due to rapid advances in computer and telecommunications technology, the Office of Management and Budget (OMB) issued Circular A-130 entitled "Management of Federal Information Resources" on December 12, 1985. Appendix III to Circular A-130 specifically addresses UCS requirements. The Department revised its policy to reflect additional OMB concerns. The basic computer security management principles established in the original Departmental policy issued in 1979 were retained. However, additional emphasis was placed on integrating UCS requirements during system planning and development phases, assigning information systems/data owner and end-user responsibilities, establishing significant incident reporting procedures, and requiring the conduct of continuous computer security awareness and training. These new policy enhancements also met the requirements of the Computer Security Act of 1987.

Information systems and computing resources are Departmental assets for which the DOE UCS program provides protection. Departmental policy requires the use of risk assessment to determine acceptable risk exposure levels or the need for implementing appropriate cost-effective security measures alone or in combination with one another to protect (1) valuable computing resources from loss, abuse, or misuse; (2) sensitive automated information from unauthorized access, alteration, disclosure, destruction or improper use; and (3) information systems which support DOE mission-essential functions from unnecessary processing delays.

Departmental policy requires that a computer protection plan be formulated and maintained at each site. The plan must be kept current and should include elements that are relative to the specific computer environment(s) of the site. The plan must allow the appropriate approving and reviewing authorities to judge the comprehensiveness and effectiveness of the UCS program at a particular site. The policy of the Department will be to continue to rely on computer protection plans as the cornerstone to a sound UCS program.

UCS is managed as an integral part of the Departmental information resource management function in the Office of ADP Management. Headquarters issues general policy and guidelines and assures compliance at the operations office level by conducting periodic on-site management reviews to assess the sustained effectiveness of their management oversight of the UCS programs established by sites under their cognizance.

On a 2-year cycle, Headquarters conducts management reviews at all operations offices to determine how effectively they are managing and coordinating programs at sites under their cognizance, to objectively identify problem areas, to offer management assistance, and to assess the effectiveness of DOE policy. On a 2- to 3-year cycle, the operations offices conduct compliance and management assistance reviews at sites under their cognizance. As part of their program, the Office of ADP Management at DOE Headquarters conducts compliance reviews at sites not reporting through an operations office. These reviews, which are more detailed and comprehensive in nature than general management reviews conducted at the operations offices, assess the effectiveness of site policy and procedures.

UCS reviews have been integrated into the ADP management review process since 1986. These reviews conducted at the field element level are intended to provide assistance in improving the management of the UCS program under DOE Order 1360.2A. Findings and recommendations resulting from these reviews have helped the Department improve the program by identifying good management techniques and by identifying areas in the program which need additional guidance. Through these ADP management reviews, the field elements are also made aware of new requirements, which will be emphasized in future review activities, and what procedures and guidance the Department will be providing to assist in complying with new requirements (DOE Reviews 89-09; 89-17; 89-22; 89-25).

o   End-User Computing - Office Automation. The Department recognizes the potential benefits achieved through the judicious implementation and use of end-user computing technology. The Department also recognizes that the user community and their management officials have to be actively involved in all aspects of planning for, implementing, and using end-user computing, and to pursue such systems as part of the overall program for building a more efficient and productive office environment. To accomplish this, an appropriate management and control process, which ensures an efficient and effective management approach, has been instituted.

Departmental policy places the prime responsibility for end-user computing management with senior management officials at each site, in recognition of the need for active user community management involvement. Departmental policy permits each site to prepare a comprehensive statement of strategy covering the specific management approach to be followed by the site in defining requirements, and acquiring, utilizing and evaluating end-user computing hardware and software. A statement of strategy focuses on the many items which must be considered by a site to gain the full benefits possible from the use of end-user computing technology. Pertinent topics include

organization structure, degree of control, planning/approval process, functional needs identification, procurement strategies, data administration, software controls, standards, support structures, training and education, security, technology assessment, evaluation methodology, and networking.

All statements of strategy are approved by senior management officials. The statements of strategy for Headquarters, operations offices, and field organizations not reporting through operations offices are approved by the Deputy Assistant Secretary for Administration. The statements of strategy for field sites reporting to operations offices are approved by the operations offices. Since August 1985, all sites have been operating under an approved statement of strategy for end-user computing technology (DOE Reviews 89-09; 89-14; 89-24; 89-25).

o  <u>Major Information Systems (IS) Review Program</u>. Due to the broad organizational impact of DOE's major IS and their critical role in the overall operations of the Department, the Office of ADP Management began conducting in-depth reviews and evaluations of DOE major IS during FY 1985. These reviews satisfy the requirements of DOE Order 1330.1B, "Management of Automated Information Systems and Data Resources," which require operational IS to be reviewed every 3 years. In addition, these major IS reviews support the objectives of the Paperwork Reduction Act of 1980 as a mechanism to ensure that DOE's systems do not overlap each other or duplicate other agencies' systems. To date, 13 systems have been designated as DOE major IS.

The objectives of these reviews of DOE major IS are to evaluate whether the IS continues to meet original design requirements and satisfies any newly identified ones, as well as measure the overall effectiveness of the system. Specifically, an assessment of the following factors is included: timeliness, accuracy, usefulness, efficiency, user and system interfaces, documentation, and unclassified security. In addition, management's perception of the value and worth of the IS to the Department, as well as level of user satisfaction with the IS, is also evaluated.

Prior to conducting the review, comments that may help focus the review process on specific areas of concern is solicited from field organizations. Issues or concerns that are identified are incorporated into the interview and review process methodology.

Products of each major IS review are (1) an information process flow report which documents the general flow of information, organizational relationships, and timing of events; (2) a final report which details review findings and recommendations and which will be distributed to each operations office; and (3) a briefing of major findings and recommendations given to the Deputy Assistant Secretary for Administration.

o  Major IS Review in FY 1989:

Integrated Payroll/Personnel System (PAY/PERS).  Review and
evaluation began in FY 1988 and was completed in FY 1989.  The final
report was available November 30, 1988.  PAY/PERS was found to be
well-managed system that meets the needs of its users.  The system
received very good or excellent ratings on nearly all criteria.  In
addition, most users were reluctant to even consider alternative
systems.  Moreover, system management expects PAY/PERS to well
surpass the typical mainframe application life span.  Their
conclusion is based on the system's proven adaptability to
significant major change.  The successful implementation of the
Thrift Savings Plan and the Federal Employees Retirement System,
particularly while other agencies are still experiencing some
difficulty, supports their expectation (DOE Review 89-10).

DOE Waste Information Network.  Review and evaluation began in March
1989.  Results will not be available until October 1989 (DOE Review
89-10).

Nuclear Materials Management and Safeguards System.  Review and
evaluation began in August 1989.  Results will not be available
until the end of January 1990 (DOE Review 89-10).

o  Electronic Filing.  The Department's Office of Organization and
Management Systems is pilot testing an electronic forms processing
package at 50 Headquarters' workstations.  Approximately 20 blank forms
are installed in the system for testing purposes.  Data can be entered
in appropriate blocks on the electronic form, and a completed (i.e.,
filled in) form can be printed by the user on a laser printer or can be
transmitted electronically.  This system, among other things, will
reduce the need for bulk forms storage and distribution, and is
expected to increase office efficiency and effectiveness (DOE Review
89-13).

The Energy Information Administration collects energy information from
a wide variety and number of respondents.  There is an increasing
interest in allowing respondents to provide requested information using
electronic technology.  Before implementing an electronic data
submission program, a number of factors are evaluated, including the
likelihood that respondents would find electronic means less
time-consuming.  Also evaluated are the legal issues; the complexity of
the collection; and the collection's adaptability to electronic
submission. The following electronic technologies are used in the
specified data collections conducted by the EIA:

o  PC diskettes:  Forms EIA-23, EIA-28, EIA-858, and EIA-859

o  PC-to-mainframe transmission:  Forms EIA-810, EIA-811, EIA-812, EIA-813, EIA-814, EIA-816, and EIA-817

o  Computer-assisted telephone interview (CATI):  Forms EIA-800, EIA-801, EIA-802, EIA-803, and EIA-804

o  Facsimile:  Same forms as CATI and PC-to-mainframe transmission (above)

The implementation of electronic information collection techniques within EIA continues to be well-received by industry, which continues to show a willingness to work with the EIA in this area.  The use of electronic filing techniques by the EIA is part of its overall program to minimize the information collection burden placed upon respondents. As a result of this and other initiatives, a net reduction of approximately 7,000 burden hours was achieved in FY 1989 (DOE Review 89-01).

YEAR 1 UPDATE TO THE DEPARTMENT OF ENERGY
INFORMATION RESOURCES MANAGEMENT (IRM) REVIEW PLAN
FY 1989 - FY 1991

PART 3:  COMPLIANCE WITH SECTION 3506


COMPLIANCE WITH SECTION 3506(a), PAPERWORK REDUCTION ACT OF 1980, AS AMENDED

"(a)  Each agency shall be responsible for carrying out its
information management activities in an efficient, effective, and
economical manner, and for complying with the information
policies, principles, standards, and guidelines prescribed by the
Director (of the Office of Management and Budget (OMB))."


For the most part, all DOE information management policy and oversight
functions are assigned to the Assistant Secretary, Management and
Administration, and the Assistant Secretary is designated as the senior agency
IRM official under the Paperwork Reduction Act of 1980.  The Deputy Assistant
Secretary for Human Resource Management and the Deputy Assistant Secretary for
Administration have been assigned responsibility for coordinating the DOE
Information Resources Management (IRM) Program, including the various surveys,
reviews, inspections, and assessments as may be required in monitoring IRM
program activities.

The Department believes several factors, including its IRM policy and
functional relationships, the role of the Assistant Secretary, Management and
Administration, and available Departmental administrative mechanisms,
effectively facilitate the development, coordination, and implementation of
Departmental information policies, procedures, standards, regulations, and
guidelines in accordance with those of OMB and other lead agencies.

The Department of Energy FY 1989 - FY 1991 Information Resources Management
Review Plan includes a variety of reviews, audits, and assessments designed to
analyze and track on-going or planned information activities.  In FY 1989 DOE
reviewers or their designees, applying accepted analytical techniques and
methodologies, reviewed information management programs, end user
computing/office automation, ADP management, telecommunications activities,
major information systems, software management/modernization, records
management, quality assurance, regulations burden, and security aspects of
information, among other review initiatives.  These reviews were conducted in
accordance with OMB requirements and regulations and with accepted management
practices.

The Department believes that the efficacy of these reviews and the IRM Review
Plan process have substantially provided DOE management with the assurance
that its IRM activities are planned and carried out in an efficient,
effective, and economical manner.
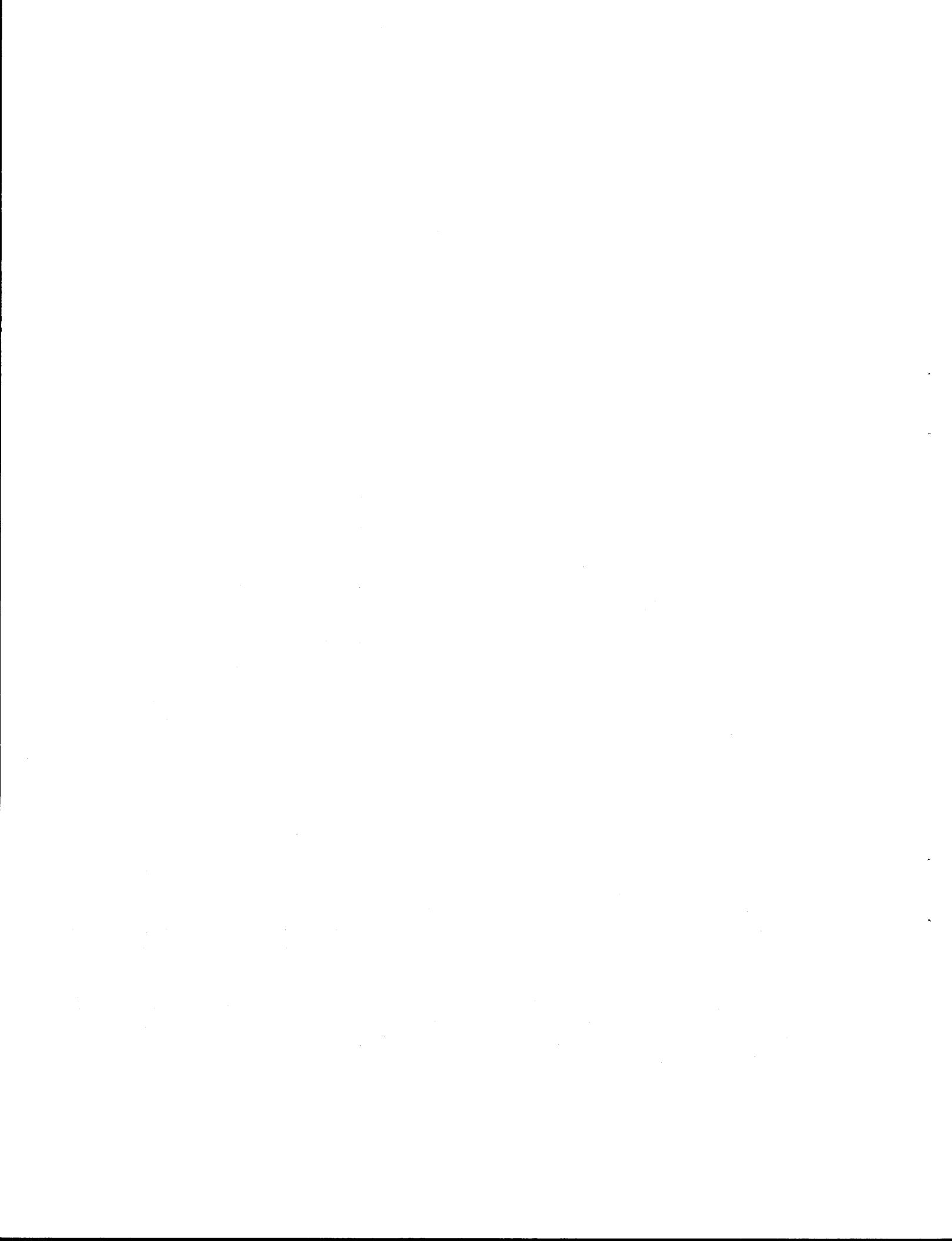
## COMPLIANCE WITH SECTION 3506(b), PAPERWORK REDUCTION ACT OF 1980, AS AMENDED

> **"(b)  The head of each agency shall designate,
> within three months after the effective date of this
> Act, a senior official...who report(s) directly to
> (the) agency head to carry out the responsibilities
> of the agency under this chapter..."**

In July 1981, three months after the effective date of the Paperwork
Reduction Act (PRA), the Secretary of Energy designated the Assistant
Secretary, Management and Administration as the senior IRM official to
implement the Act within the Department of Energy.

OMB Bulletin 81-21, "Designation of the Single Official Required by the
Paperwork Reduction Act of 1980, P.L. 96-511," dated 6-8-81, stated that "The
Congress recognized that one (organization) structure will not be appropriate
for all agencies.  However, both the House and Senate Committee reports noted
that a proposed structure for an agency will meet the intent of section 3506
if (1) the agency's information functions which relate to the OMB Director's
functions listed in section 3504(a) are under the supervision of the
designated official; and (2) the designated official has approval authority
for the agency's information functions."

The Assistant Secretary's information functions corresponded most closely with
the OMB Director's information functions assigned by the Act, and encompassed
the majority of the information functions enumerated in the Act.  Further, the
Assistant Secretary had final approval authority over the majority of the
information functions of the Department.  (In accordance with the legislated
autonomy of the Federal Energy Regulatory Commission (FERC) and the Energy
Information Administration (EIA), the Secretary's designation excluded
PRA responsibilities for FERC, and further directed the Assistant Secretary,
to exercise his/her PRA responsibilities, as the designated senior IRM
official, consistently with the statutorily mandated authorities vested in the
Administrator, EIA.)

Furthermore, the Assistant Secretary maintains direct access to the Secretary
of Energy, thus complying with the further intent of this section, i.e., that
the senior IRM official should report directly to the agency head.

DOE believes that the senior IRM official is appropriately designated and possesses the necessary responsibilities and authorities to ensure that the Department's responsibilities under the Paperwork Reduction Act of 1980, as amended, are carried out.

COMPLIANCE WITH SECTION 3506(c)(1), PAPERWORK REDUCTION ACT OF 1980,
AS AMENDED


**"(c)  Each agency shall**

**(1) systematically inventory its major information
systems and periodically review its information
resources management activities;**


## Inventory of Major Information Systems

An integral part of the overall information systems (IS) planning and
management process is the maintenance of an inventory of all automated IS
within the Departement.  The automated System Review Inventory System (SRIS)
contains basic descriptive information on all DOE IS and their enhancements
which are operational, under development, or planned.  SRIS, which is operated
by the Office of ADP Management, was created to provide information needed by
the Department to properly monitor and manage its IS activities.  The initial
SRIS data base has been refined and expanded over the last several years, with
maintenance of this data now occuring as a by-product of the normal long-range
planning process and ongoing management activities.

The life cycle of a DOE automated IS begins with its inclusion in the DOE IS
long-range planning process (IS initiation phase/planning stage).  Upon
completion of the initiation phase/analysis stage, the user Departmental
Element prepares and submits to the Office of ADP Management a "Notification
of Planned IS" which is used, in part, to update the SRIS.  When the
developing IS reaches the operational phase/implementation stage, the user DOE
Element prepares and submits to the Office of ADP Management a "Notification
of Operational IS" which is used, in part, to update the SRIS.

## Periodic Review of Information Management Activities

The Department continually reviews its IRM program activities in accordance
with the requirements of DOE directives, management priorities, and resource
availability.  The DOE IRM Review Plan reflects a multidimensional approach to
ensuring that information management activities are continually reviewed.  For
example:

(1) Information/data collections were systematically reviewed in accordance with the Department's Information Collection Review (ICR) process (DOE Reviews 89-01; 89-20).

(2) Inspector General (IG) audits focused on a variety of information management aspects including ADP workload, computer networking and telecommunications services, cost recovery, security and internal controls, and cost effectiveness and efficiency (DOE Review 89-22).

(3) ADP management reviews focused on compliance with Departmental and site-developed directives concerning the management of ADP resources, including the effectiveness of hardware/software configurations, organizational structures supporting systems, user and system interfaces, satisfaction of system objectives, system documentation and contractor support, cost-effectiveness and efficiency, and many other aspects including unclassified computer systems security (DOE Reviews 89-09; 89-23; 89-24; 89-25).

(4) Performance of Commercial Activities (A-76) reviews of information and records management activities determined whether in-house performance or contractor operation of IRM activities was more economical (DOE Review 89-15).

(5) Records management program reviews focused on identifying vulnerable points in the records life cycle, and identifying and tracking corrective actions and new initiatives (DOE Reviews 89-02; 89-07; 89-13).

(6) Periodicals and public communications (A-3) reviews of DOE publications, among other things, aimed at reducing or stabilizing the number and cost of DOE-funded publications distributed to a non-Federal government audience, and the purging of mailing lists (DOE Review 89-16).

(7) Telecommunications reviews focused on improving the overall performance and efficiency of the voice and data communications and spectrum-dependent programs, reducing costs, and promoting measures of sound management practices to avoid waste, fraud, and abuse (DOE Reviews 89-11; 89-22; 89-24).

(8) Office automation/end user computing reviews served to ensure the attainment of the full benefits possible from the use of end-user computing technology resulting from the preparation and employment of a site-prepared comprehensive statement of strategy approved by senior management officials (DOE Reviews 89-09; 89-14; 89-24; 89-25).

(9)  Internal control reviews and financial management system reviews
     focused on whether obligations and costs were in compliance with
     applicable laws; funds, property and other assets were safeguarded;
     revenues and expenditures were properly recorded and accounted for;
     program and operational objectives were carried out consistent with
     program direction and funding documents; or whether all components
     of the Department's financial management system were in compliance
     with A-127 objectives (DOE Reviews 89-03; 89-12).

(10) Software management reviews aimed at ensuring that Departmental
     policies were being administered in accordance with its management
     directives which are in place to ensure the operation and
     maintenance of the most modern, state-of-the-art set of software as
     is economically feasible and cost-effective (DOE Reviews 89-09;
     89-17; 89-22; 89-25).


The conduct of these reviews of information management activities has provided
DOE management with invaluable information on how well the Department plans,
budgets, organizes, directs, trains, promotes, and controls those activities
involving the collection, use, and dissemination of information.

The Department of Energy believes that the information obtained has served to
improve IRM activities at all levels of DOE.
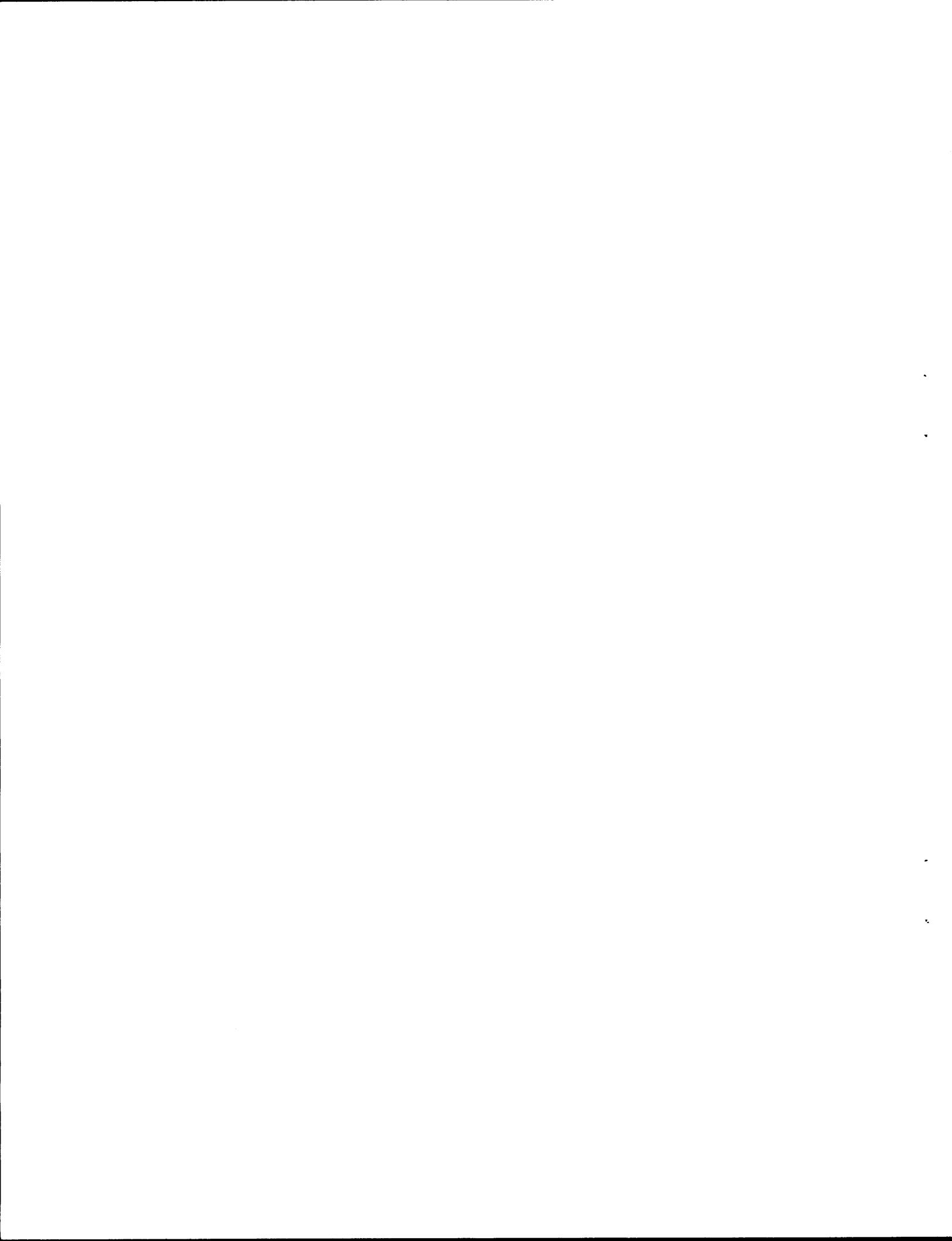
COMPLIANCE WITH SECTION 3506(c)(2), PAPERWORK REDUCTION ACT OF 1980,
AS AMENDED

((c)  Each agency shall:)

"(2)  ensure its information systems do not overlap
each other or duplicate the systems of other
agencies;"

The Department of Energy employs a number of management techniques and
practices to ensure that its information systems do not overlap each other or
duplicate the systems of other agencies.  An effective management approach
to ensure that DOE systems do not overlap each other has been the emphasis on
development and implementation of standardized, uniform information systems
such as the DOE Single Integrated Financial Management System (SIFMS).  The
SIFMS consists of the Departmental Funds Distribution System (FDS), the
Financial Information System (FIS), the Departmental Integrated Standardized
Core Accounting System (DISCAS), the Payroll/Personnel System (PAY/PERS), the
Departmental Budget Formulation System (DBFS), and the accounting systems
supporting the 5 Power Marketing Administrations.  DOE IRM reviews continually
measure the effectiveness and efficiency of DOE standardized, uniform systems
(DOE Review 89-12).

Another example is the National Energy Information System.  The Energy
Information Administration collects, evaluates, assembles, analyzes, and
disseminates information on the energy status of the United States.  By
providing comprehensive, authoritative energy data and analysis reports to the
Executive Branch, Congress, state governments, industry, and the public, the
National Energy Information System minimizes the possibility of duplication by
other sources.  EIA products are also recognized as an integral component of
the Federal statistics program.  For example, EIA data are used by the Bureau
of Economic Analysis for the Gross National Product accounts, by the Bureau of
Labor Statistics for both the Producer Price Index and the Consumer Price
Index, and by the Environmental Protection Agency for air quality standards
development and motor gasoline lead phase down analysis.  Further, EIA is
recognized as the sole source of comprehensive data on U.S. coal production,
distribution, and consumption.  Its information and analyses are relied upon
by the International Energy Agency as the official statistics describing the
U.S. energy situation.  Departmental emergency preparedness activities also
use EIA data and analyses as a basis for their development and implementation.

Continual IRM reviews of EIA's information management activities serve to ensure the maintenance of data quality, the integration of data systems, and the improvement of data collection programs (DOE Reviews 89-01; 89-02; 89-03; 89-19; 89-22).

Insofar as the Department recognizes a potential for information systems duplication or overlapping in its information collection activities, the Department's management and procurement information collections have been subject to continual Information Collection Reviews (ICR's) to assure compliance with the Paperwork Reduction Act and the implementing OMB regulation, 5 CFR 1320, "Controlling Paperwork Burden on the Public." A prime purpose of the ICR's is to assure that management and procurement information collections do not overlap each other within the Department, nor duplicate like collections of other agencies (DOE Review 89-20).

Further, the Energy Information Administration, in its mandate to collect energy information and statistics, ensures that its energy information and statistical collections do not overlap other DOE collections or duplicate those of other agencies through employment of an intensive coordination and review system. This review includes General Counsel and DOE program offices coordination, supplemented by systematic use of Federal Register notices to obtain private and public sector comments, and searches of the EIA Data Resources Directory (DOE Review 89-01).

Too, DOE information resources management-related directives which prescribe policies, procedures, standards, techniques, and guidelines for the creation, maintenance, and use of manual or automated information systems typically include provisions aimed at validating that DOE information systems will not overlap each other or duplicate the systems of other agencies. DOE IRM Reviews are employed, in part, to provide further validation that such overlapping and duplication has not occurred and, where it occurs, corrective actions have been or will be taken.

YEAR 1 UPDATE TO THE DEPARTMENT OF ENERGY
INFORMATION RESOURCES MANAGEMENT (IRM) REVIEW PLAN
FY 1989 - FY 1991


## COMPLIANCE WITH SECTION 3506(c)(3), PAPERWORK REDUCTION ACT OF 1980, AS AMENDED


**((c) Each agency shall:)**

**"(3) develop procedures for assessing the paperwork and reporting burden of proposed legislation affecting such agency;"**


The development of procedures for assessing the paperwork reporting burden of proposed legislation affecting the Department has been assigned to the Office of General Counsel which is the focal point for the identification and review of such proposed legislation.

DOE Order 2020.2, Legislative Coordination and Clearance Process, initiated by the Office of General Counsel, establishes policies and procedures and assigns responsibilities for the preparation, processing, and coordination of legislation, Executive Orders, proclamations, and reorganization plans. In conjunction with the existing processes for review of proposed legislation there is an assurance that, among other factors, the potential paperwork burden is addressed and is identified as an issue in those pieces of proposed legislation where it is believed to create an excessive paperwork reporting burden.

Furthermore, DOE Order 2020.1, Legislative Implementation System, initiated by the Office of Organization and Management Systems, establishes procedures for ensuring that (a) responsibilities within the Department for implementing new legislation, Executive Orders, and reorganization plans are clearly established, and (b) DOE actions required by new legislation, Executive Orders, and reorganization plans are carried out fully and within established deadlines.

YEAR 1 UPDATE TO THE DEPARTMENT OF ENERGY
INFORMATION RESOURCES MANAGEMENT (IRM) REVIEW PLAN
FY 1989 - FY 1991


COMPLIANCE WITH SECTION 3506(c)(4), PAPERWORK REDUCTION ACT OF 1980,
AS AMENDED


((c) Each agency shall:)

"(4) assign to the (senior IRM) official designated under
subsection (b) the responsibility for the conduct
of and accountability for any acquisitions made
pursuant to a delegation of authority under section
111 of the Federal Property and Administrative
Services Act of 1949 (40 U.S.C. 759);"


The official designated under subsection (b) is the Assistant Secretary,
Management and Administration. Delegation Order No. 0204-98 (6-14-82) to the
Assistant Secretary, Management and Administration delegates to the
Assistant Secretary the authority to "approve acquisitions of automatic data
processing and telecommunications equipment."

The Assistant Secretary, through the employment of the ADP utilization and
sharing plan, is better able to monitor the use and enhancement of resource
sharing of existing computer resources.

DOE IRM reviews conducted primarily by the Office of Inspector General, Office
of ADP Management, and the Office of Computer Services and Telecommunications
Management typically include assessments of the conduct of and accountability
for acquisitions made pursuant to section 111 of 40 U.S.C. 759 (DOE Reviews
89-09; 89-11; 89-22).

YEAR 1 UPDATE TO THE DEPARTMENT OF ENERGY
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FY 1989 - FY 1991


COMPLIANCE WITH SECTION 3506(c)(5), PAPERWORK REDUCTION ACT OF 1980,
AS AMENDED


((c)  Each agency shall:)

"(5)  ensure that information collection requests
required by law or to obtain a benefit, and
submitted to nine or fewer persons, contain a
statement to inform the person receiving the
request that the request is not subject to the
requirements of section 3507 of this chapter."


DOE management and procurement information collections are managed by the
Assistant Secretary, Management and Administration.  Energy information and
statistical collections are managed by the Administrator, Energy Information
Administration (EIA).

DOE management and procurement information collections are assembled within
"information collection packages."  There are currently a total of 21 such
packages in the system, each one of which is the responsibility of a
functional DOE package manager.  Reviews of specific collections within a
particular package are an ongoing function of the package manager.  EIA also
assembles most of its information collections in "packages," and there are
currently about 10 packages, in addition to those collections which are
cleared on an individual basis.

In the case of the Assistant Secretary, Management and Administration
management and procurement collections, it should be noted that these
collections arise from the need for program and management information by DOE
organizations regarding the work being performed for them by the management
and operating (M&O) contractors of the Department (DOE Review 89-20).
Occasionally, because of the nature of the management information needed,
collections will be made from 9 or fewer M&O contractors dealing with a
specialized function or activity.  5 CFR 1320.7u(2) provides that collections
from 9 or fewer "persons," addressed to all or a substantial majority of an
industry (M&O contractors in this instance) shall be presumed to involve 10 or
more persons.  Thus, the program and management-specific collections, if from
9 or fewer M&O contractors involved in specific and specialized activities

(e.g., fusion research), are considered to come under the exception cited above. Viewed in this context, DOE is considered not to have had any collections in the management and procurement area that required the "9 or fewer persons" disclaimer.

In addition to the legal considerations addressed above, there are sound management reasons for identifying and periodically reviewing these management and procurement collections from 9 or fewer M&O contractors. For example, in several cases it has been found that, although few respondents were involved, the information collection burden was substantial, and management attention to those collections was warranted. Other situations involve collection requirements imposed by individual DOE field offices on their contractors only. For all such collections, by identifying them and keeping them subject to review and scrutiny by their information collection package managers, these collections can often be eliminated or reduced in burden. Elimination and reduction of these "smaller" (number of respondents) collections has proven to be every bit as significant to respondents as the elimination or reduction of larger collections, and is especially important to the Department's success in its initiatives to reduce the perception of DOE "micromanagement" held by some management and operating contractors and other contractors.

In the case of the Energy Information Administration and its energy information and statistical collections, it should be noted that collections from 9 or fewer respondents carry the disclaimer described in subsection 3506(c)(5) (DOE Review 89-01).

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<u>COMPLIANCE WITH SECTION 3506(c)(6), PAPERWORK REDUCTION ACT OF 1980,</u>
<u>AS AMENDED</u>

((c)  Each agency shall:)

"(6)  implement applicable Governmentwide and agency
information policies, principles, standards, and
guidelines with respect to information collection,
paperwork reduction, statistical activities, records
management activities, privacy and security of records,
sharing and dissemination of information, acquisition and
use of information technology, and other information
resource management functions;"

The Assistant Secretary, Management and Administration, the DOE senior IRM
official, has the management authorities and responsibilities which
substantially encompass all IRM activities within the Department.  As such,
Management and Administration organizations carry out the largest part of the
information management policy and oversight functions.  From an administrative
viewpoint, Management and Administration is the focal point for the receipt of
Governmentwide IRM policy directives and similar information, and it routinely
manages the coordination of these action and/or information items from their
receipt to their implementation, response, or other necessary action.

The DOE Directives System, also managed by the Assistant Secretary, is the
Departmentwide system for documenting organizational responsibility to
develop, coordinate, implement, and periodically revalidate DOE policies,
procedures, standards, guidelines, and techniques.  It is Departmental policy
to revalidate its directives on a three-year cycle to ensure currency and
appropriateness of coverage.  The Department's sophisticated directives
system, coupled with other administrative mechanisms, ensures the timely and
comprehensive analysis of Federal agency guidance and direction emanating from
the Central agencies, the White House, and Congress, and serves to ensure that
the "audience" for resulting DOE directives are apprised of relevant policies,
procedures, standards, guidelines, and techniques.  Figure 3 lists examples of
IRM-related Departmental directives.

Policies, procedures, standards, guidelines, and techniques set forth in
Departmental directives serve as benchmarks for reviewers of information
resources management functions.  That is, DOE IRM reviews are employed, in
part, to provide further validation that Governmentwide and DOE IRM policies,
principles, standards, guidelines, and techniques are adopted within the

3-17

Departmental Elements and, furthermore, that the intents and purposes of those issuances are being carried out efficiently and effectively.

The Department complies with the requirements of this subsection to the extent required for the efficient and effective management and operation of Departmental administrative and programmatic missions.

Figure 3: <u>EXAMPLES OF DEPARTMENTAL IRM-RELATED DIRECTIVES</u>

Directive
Number          <u>Subject</u>

| Directive Number | Subject |
|---|---|
| 0000.1A | Standard Subject Classification System |
| 1000.3B | Internal Control Systems |
| 1321.1B | Departmental Directives System |
| 1322.2B | Forms Management |
| 1323.1A | Congressional Reports Monitoring System |
| 1323.2A | Interagency Reporting Requirements |
| 1323.3 | Internal Reports Management |
| 1323.4C | Weekly Report to the Secretary |
| 1324.2A | Records Disposition |
| 1324.3 | Files Management |
| 1324.4 | Micrographics Management |
| 1324.5 | Records Management Program |
| 1324.6 | Automated Office Electronic Recordkeeping |
| 1324.7 | Departmental History Program |
| 1325.1A | DOE Correspondence Manual |
| 1330.1B | Management of Automated Information Systems and Data Resources |
| 1331.1C | Procurement and Assistance Data System |
| 1332.1A | Uniform Reporting System |
| 1332.2 | Uniform Reporting System for Federal Assistance (Grants/Coop.Agrmts) |
| 1340.1A | Management of Public Communications Publications, and Scientific, Technical, and Engineering Publications |
| 1360.1A | Acquisition and Management of Computing Resources |
| 1360.2A | Unclassified Computer Security Program |
| 1360.3A | Automatic Data Processing Standards |
| 1360.4A | Scientific and Technical Computer Software |
| 1360.6 | Automatic Data Processing Equipment/Data Systems |
| 1360.7 | Use of Terminals and Microcomputers/Word Processors Off-Site As Well As Privately-Owned Ones On- Or Off-Site |
| 1370.2 | Computer-Aided Design, Engineering and Manufacturing Resources |
| 1410.1B | Routing Symbol System |
| 1410.2 | Mail Management |
| 1430.1A | Managing Scientific and Technical Information |
| 1430.2A | Scientific and Technical Information Program |
| 1430.3 | Policy for the Dissemination of and Access to Departmental Unclassified Scientific and Technical Information |
| 1430.4 | Library Services |
| 1450.1C | Acquisition, Utilization, and Administration of Teleprocessing Services |

| Directive Number | Subject |
|---|---|
| 1450.3 | Authorized Use of Government Telephone Systems |
| 1700.1 | Freedom of Information Program |
| 1800.1A | Privacy Act |
| 1900.1D | Federal Register Management |
| 1900.2B | Procedures for Processing Federal Register Documents |
| 2020.1 | Legislative Implementation System |
| 2020.2 | Legislative Coordination and Clearance Process |
| 2100.8 | Cost Accounting, Cost Recovery, and Interagency Sharing of Data Processing Facilities |
| 2200.12 | Financial Management Systems |
| 4210.3C | Procurement Management Assistance Review Program |
| 4210.9 | System for Proposal Information Network |
| 4240.1I | Designation of Major System Acquisitions and Major Projects |
| 5300.1B | Telecommunications |
| 5300.2B | Telecommunications: Emission Security (Tempest) |
| 5300.3B | Telecommunications: Communications Security |
| 5300.4B | Telecommunications: Protected Distribution Systems |
| 5500.7A | Vital Records Protection Program |
| 5610.2 | Control of Weapon Data |
| 5630.8 | Safeguarding of Naval Nuclear Propulsion Information |
| 5632.5 | Physical Protection of Classified Matter |
| 5633.4 | Nuclear Materials Transactions: Documentation and Reporting |
| 5633.5 | Nuclear Materials Reporting and Data Submission Procedures |
| 5635.1A | Control of Classified Documents and Information |
| 5635.2B | Protection of Classified National Security Council Information |
| 5635.3 | Hand-Carrying Classified Matter on Air Carriers |
| 5635.4 | Protection of Unclassified Controlled Nuclear Information |
| 5636.1 | Prohibitions on Wiretapping and Eavesdropping |
| 5637.1 | Classified Computer Security Programs |
| 5650.2A | Classification of Information |
| 5650.3 | Identification of Unclassified Controlled Nuclear Information |
| 5670.1 | Management and Control of Foreign Intelligence |
| 5670.2 | Security of Foreign Intelligence Information and Sensitive Compartmented Information Facilities |
| 5700.6B | Quality Assurance |
| 5900.1 | Management of Energy Data Services Resources |

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INFORMATION RESOURCES MANAGEMENT (IRM) REVIEW PLAN
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## COMPLIANCE WITH SECTION 3506(c)(7), PAPERWORK REDUCTION ACT OF 1980, AS AMENDED


**((c)  Each agency shall:)**

**"(7)  periodically evaluate and, as needed, improve
the accuracy, completeness, and reliability of data
and records contained within Federal information systems;"**


IRM review activities are a primary means by which the Department ensures that significant information systems are periodically evaluated as to the accuracy, completeness, and reliability of data and information contained therein.  Some examples are as follows:

1.  Operational information systems (IS) reported to OMB as major IS are reviewed every 3 years.  These comprehensive reviews address, among other aspects, the system's inputs and sources and its outputs and recipients, data elements and definitions, and data security.  For example, a review of the Real Property Inventory System (RPIS) found that it was meeting the objectives for which it was designed, operating as intended, and to the extent that complete and accurate information is being input by field organizations, the system is producing the results intended (DOE Review 89-14).  Review of the Procurement and Assistance Data System (PADS) resulted in actions aimed at ensuring the accuracy, completeness and reliability of PADS data and records (DOE Review 89-17).  Review of the Integrated Payroll/Personnel System (PAY/PERS), the Waste Information Network (WIN), and the Nuclear Waste Materials Management and Safeguards System (NMMSS) evaluated, among other things, the timeliness, accuracy, and usefulness of data and records associated with the systems (DOE Review 89-10).

2.  The DOE Financial Management System Review Program includes reviews of the Department's accounting system components (DISCAS, PAY/PERS, FIS, systems of the Power Marketing Administrations, and the Departmental Budget Formulation and Execution Systems).  The "detailed review" aspects of this program has a system testing component which is, in part, an evaluation of the accuracy, completeness, and reliability of data and records of DOE accounting system components (DOE Review 89-12).

3.  The DOE Real Property Inventory System (RPIS) Agency Review focuses on each data element in the system to assess its effectiveness in satisfying reporting requirements and property management functions. The review also determines whether additional or revised elements are necessary to satisfy management information requirements. Data accuracy is of primary concern insofar as effective and widespread use of the RPIS by field organizations is correlated to the actual or perceived accuracy of the data and the ease of its retrieval (DOE Review 89-14).

4.  Energy Information Administration (EIA) Data Collection Reviews provide for systematic preclearance reviews which focus on (a) the implementation of recommendations from prior quality assurance projects, i.e., prior evaluations of EIA data systems, including their accuracy, completeness, and reliability; (b) potential overlaps or duplication between energy data collection forms; (c) gaps in energy information; and (d) consistency between the information collections and the industry's structure, technology, and regulatory requirements (DOE Review 89-01). An ongoing evaluation of IRM in EIA focuses on, among other things, the accuracy, completeness, and reliability of EIA records (DOE Review 89-02).

5.  A comprehensive review and updating of the Department's records retention schedules, a significant activity under the Records Management Program Review, includes a thorough evaluation of the schedules to determine their accuracy, completeness, and reliability for making records disposition determinations throughout the Department (DOE Review 89-07). Departmental records management personnel and quality assurance program managers continue to review records management policies and procedures with a view towards improving the quality of DOE data and records (DOE Review 89-07).

6.  Unclassified computer security reviews, integrated into the ADP management review process since 1986, among other purposes serves to ensure that sensitive automated information is protected from unauthorized access, alteration, disclosure, destruction, or improper use (DOE Reviews 89-09; 89-24; 89-25; 89-26).

## COMPLIANCE WITH SECTION 3506(c)(8), PAPERWORK REDUCTION ACT OF 1980, AS AMENDED

**((c)  Each agency shall:)**

**"(8)  develop and annually revise a 5-year plan, in accordance with appropriate guidance provided by the Director (of OMB), for meeting the agency's information technology needs."**

The Department of Energy has consolidated its 5-year plans for information systems, computing resources, and telecommunications into one document, "The Information Technology Resources (ITR) Long-Range Plan."  The consolidation was accomplished as a joint effort of the Office of ADP Management and the Office of Computer Services and Telecommunications Management, with the participation of the Office of Budget concerning the Departmental plans for financial management systems.

The plan is used to project both future information technology requirements and the resources necessary to meet those requirements.  It encompasses the plans of the various organizational components within the Department and its management and operating contractors for the fiscal years 1990 through 1994.

The principal objective of the plan is to describe the information technology resources and capabilities of the Department, future requirements, and the strategies and plans to satisfy the identified requirements of more than 52 different DOE components and contractors.  The long-range planning process provides the systematic means to meet this objective and assists the Department in assuring that information technology support is provided in an efficient, effective, and timely manner so that the programmatic missions can be accomplished.  Another important objective of the plan is to promote better understanding, both within and external to the Department, of its information technology environment, requirements, problems, and recommended solutions, as well as describing the DOE unclassified computer security program.

The annual long-range planning cycle for supporting the ITR plan begins with a Headquarters call for site ITR plans from Departmental components and contractors with major ITR requirements.  Respondents submit initial plan segments (Overview; Information Systems (IS); Financial Management Systems; Computing Resources; Telecommunications) 6 months later.  Regional planning

meetings are held and site plans are reviewed over the following 3 months by appropriate operations offices, program offices, the Office of ADP Management, the Office of Computer Services and Telecommunications Management, the Office of Budget, and other senior management officials. During this review process, consideration is given to the validity of the programmatic requirements, the reasonableness of funding estimates, the identification and resolution of any issues, and the other alternatives available. Following planning and budgeting decisions in the ensuing months, the 5-year plan is approved and issued.

The information technology requirements of the Department of Energy are diversified. These requirements are continually changing to reflect changes in technology, policy, and program mission. The long-range planning process for information technology resources has been developed to help ensure that adequate support is and will be available for cost-effective accomplishment of mission objectives.

The Department is in compliance with the requirements of this subsection.

YEAR 1 UPDATE TO THE DEPARTMENT OF ENERGY
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COMPLIANCE WITH SECTION 3506(d), PAPERWORK REDUCTION ACT OF 1980, AS AMENDED


**"(d)  The head of each agency shall establish such
procedures as necessary to ensure compliance of the
agency with the requirements of the Federal
Information Locator System, including necessary
screening and compliance activities."**


Prior to October 1988 DOE procedures for using the Federal Information Locator
System (FILS) were routinely employed in the management and processing of the
Department's management and procurement information collections and energy and
statistical information collections of the Energy Information Administration.

For each new or revised Departmental information collection worksheet
(submitted to OMB in accordance with 5 CFR 1320) the Department routinely
conducted a search of the FILS data base to determine if duplication of other
Federal information collections existed.

This automated search of the data base was conducted via a Departmental
computer terminal hookup to the FILS, as maintained by the Department of
Defense for OMB.  Using the General Accounting Office Thesaurus, a
Departmental analyst would choose from 3 to 15 keywords that the analyst
believed best represented the proposed Departmental information collection.

DOE and FILS system "matches" were checked by a Departmental analyst to see if
there were possible duplications, including follow up calls to other
collecting agencies to investigate the more likely information collection
matches.

The results of each search were documented in each DOE information collection
clearance package submitted to OMB for approval as required by 5 CFR 1320.  It
is noted, however, that the number of apparent matches were relatively few and
generally had been found not to include information duplicates.

The Department of Energy no longer conducts FILS searches.  A memorandum dated
October 3, 1988, "Federal Information Locator System," to FILS Coordinators
from the Office of Management and Budget directed that "...effective October
1, 1988, agencies will no longer be responsible for conducting FILS searches.
Agency officials signing the SF 83 will not be attesting to the agency's
having met the FILS requirement in the Act.  The searches will be conducted by
OMB."  (DOE Reviews 89-01; 89-20).
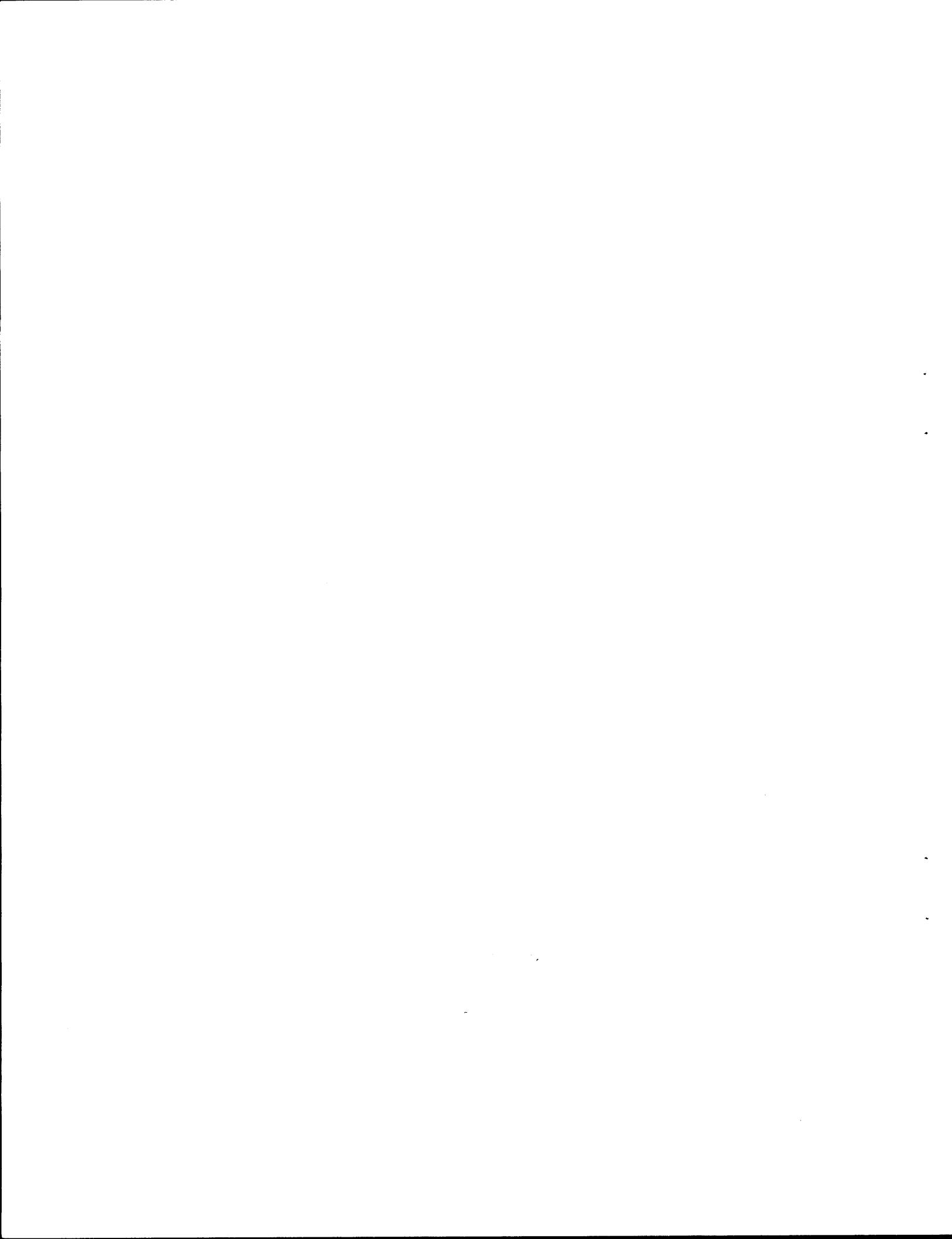
YEAR 1 UPDATE TO THE DEPARTMENT OF ENERGY
INFORMATION RESOURCES MANAGEMENT (IRM) REVIEW PLAN
FY 1989 - FY 1991

## PART 4: SUMMARY OF PLANS FOR THE FY 1990 REVIEW PROGRAM

In Fiscal Year 1990 the Department of Energy will review IRM activities in the Governmentwide priority review areas of telecommunications (DOE Review 90-07), information management (DOE Reviews 90-03; 90-08; 90-09; 90-12; 90-13; 90-14; 90-18; 90-20), security (DOE Reviews 90-05; 90-18), ADP management (DOE Reviews 90-05; 90-08; 90-18) and major information systems (DOE Reviews 90-05; 90-06; 90-09; 90-12; 90-19; 90-20).

Additionally, the Department will review IRM activities in the DOE priority review areas of records management (DOE Review 90-03; 90-11), quality assurance (DOE Review 90-03), and information collections (DOE Reviews 90-01; 90-17).

The Department's reviews will continue to serve the objectives of the IRM Review Program, i.e., to provide assurances that the Department is in compliance with applicable IRM laws, regulations, and directives, and to provide a basis by which periodic assessments can be made on the efficiency and effectiveness of IRM activities supporting program missions and objectives.

The DOE priority review areas reflect a continuing effort to improve the records management program and activities in the Department. With the advent of a Departmentwide records management program assessment by the National Archives and Records Administration in FY 1989 the focus in FY 1990 will be to address a number of issues and concerns expressed in the NARA report. The quality assurance area is also of interest, particularly the issue of quality assurance records. The Department will be exploring ways to accommodate the QA program requirements in concert with Federal records management program requirements. Accomplishments in the DOE priority review areas of records management and quality assurance can yield benefits to DOE and DOE-contractor organizations. A DOE priority review area which can yield benefits to the public (including DOE-contractors) is the information collections program. Continual reviews to minimize the burden of information collections on the public will be ongoing in FY 1990. Continuing emphasis on this program has produced noteworthy burden reductions, with the Department consistently exceeding its yearly burden reduction goals. DOE will continue to measure its progress in achieving any externally imposed or internally required burden reduction goals which may be in effect for FY 1990.
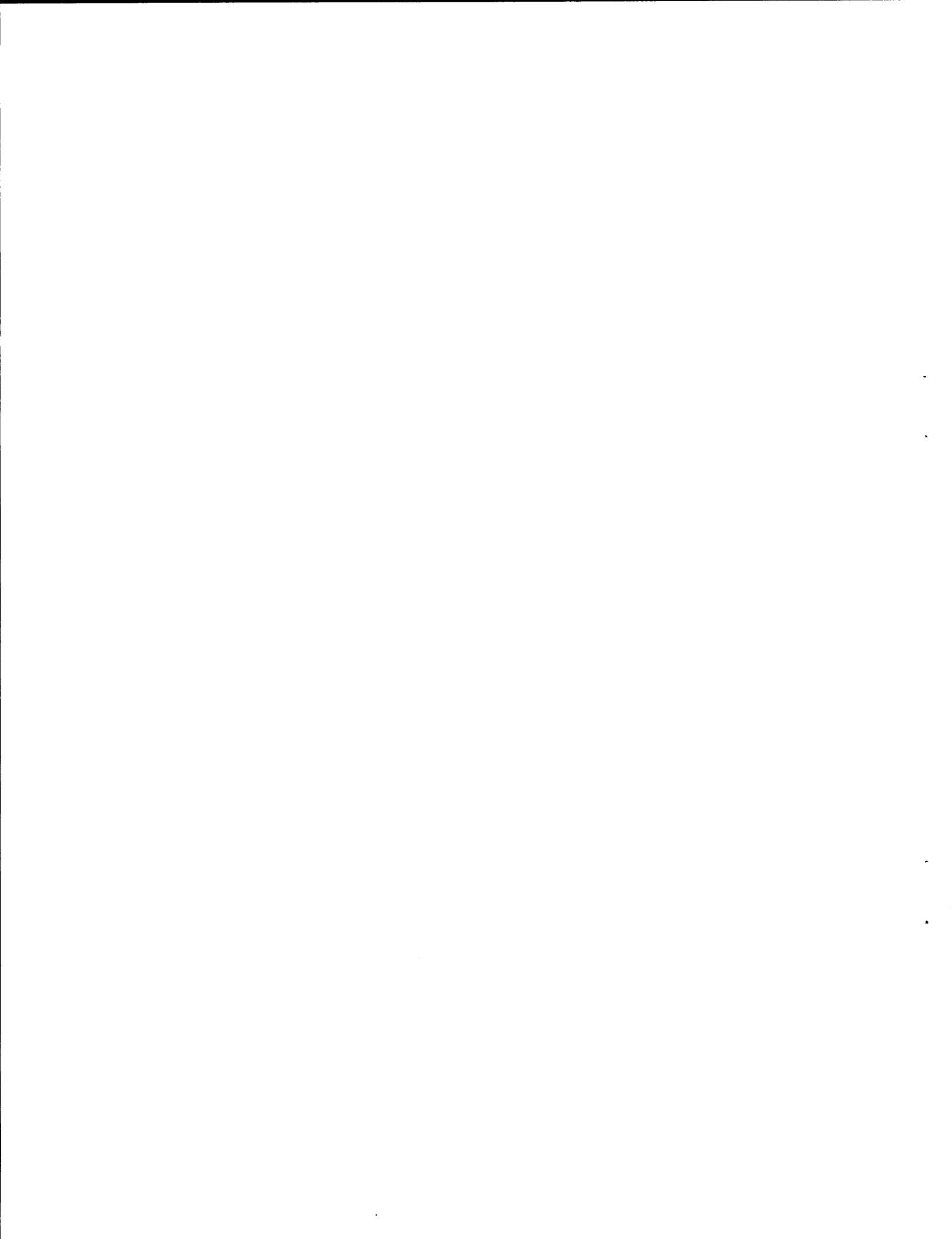
**INTRODUCTION TO PART 5: SYNOPSES OF FY 1989 AND FY 1990
INFORMATION RESOURCES MANAGEMENT REVIEWS
WITH FY 1989 SYNOPSIS DATA SHEETS**


Index of DOE IRM Reviews.

A numerically arranged index of IRM Reviews which were projected in the
Department's IRM Review Plan published in November 1988 follows.  It should be
noted that the index lists projected reviews for the 3-year period FY 1989 -
FY 1991.  GSA regulations require review synopses and synopsis data sheets
only for FY 1989 completed reviews.  However, the Department has included
synopses for all FY 1989 reviews and for all reviews planned for FY 1990.  The
Department believes that, for its purposes, better consistency and continuity
of the published Plan is thus maintained.

Page Numbering.

The following pages in Part 5 are numbered so as to correspond to DOE Review
Numbers and continuation page(s).  For example, DOE Review 89-01 is found on
page 89-01 and the continuation page 89-01-1.

GSA Synopsis Data Sheets for FY 1989 reviews are not page-numbered; however,
they are sequentially arranged and are placed in front of the corresponding
synopsis.  (The published Plan omits the Synopsis Data Sheets.)

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| REVIEW NO. | TITLE | STATUS | REVIEW TYPE | REVIEW CATEGORIES | EXPLANATION OF CATEGORY "11. OTHER" | REVIEW POINT OF CONTACT | ORGANI-ZATION | TELEPHONE |
|---|---|---|---|---|---|---|---|---|
| 89-01 | Energy Information Administration (EIA) Data Collection Reviews | Completed | 1 | ,5,11, | Information Collections | Herbert Miller | EI-73 | 586-2171 |
| 89-02 | Evaluation of IRM in the Energy Information Administration | In Process | 1 | ,4,10,11, | Quality Assurance | Richard H. Moore | EI-23.1 | 586-6485 |
| 89-03 | Internal Control Evaluation of EIA's Office of Statistical Standards | In Process | 2 | ,11, | Quality Assurance | William I. Weinig | EI-72 | 586-2196 |
| 89-04 | (SEE DOE REVIEW 90-20) | Deleted | | | | Richard H. Moore | EI-23.1 | 586-6485 |
| 89-05 | (SEE DOE REVIEW 91-19) | Deleted | | | | Richard H. Moore | EI-23.1 | 586-6485 |
| 89-07 | Records Management Program Review | In Process | 1 | ,4,10,11, | Quality Assurance | Edward Nugent | MA-513.2 | 586-3288 |
| 89-08 | Records Management Appraisal Program | Canceled | | | | Edward Nugent | MA-513.2 | 586-3288 |
| 89-09 | ADP Management Reviews | Completed | 1 | ,2,3,4,6,8,9 | | Mary C. Thomas | MA-24 | 353-3524 |
| 89-10 | DOE Major Information Systems Review Program | In Process | 1 | ,6, | | J. Archie Ruatto | MA-24 | 353-3307 |
| 89-11 | Telecommunications Management Review | In Process | 1 | ,1, | | Donald E. Scott | MA-253 | 353-4643 |
| 89-12 | Financial Management System Review Program | In Process | 7 | ,4,5,6, | | McKinley E. Bryant | MA-32 | 353-2551 |
| 89-13 | Departmental Forms Review | In Process | 1 | ,10, | | Sharon Evelin | MA-513.2 | 586-3290 |
| 89-14 | DOE Real Property Inventory System (RPIS) Review | Completed | 1 | ,2,4,6, | | Richard W. Earl | MA-222 | 586-1191 |
| 89-15 | Performance of Commercial Activities (A-76) | In Process | 6 | ,4, | | Richard S. Moore | MA-513.1 | 586-3295 |
| 89-16 | DOE Publications Review (Periodicals & Public Communications) | In Process | 8 | ,4,11, | Publications Management | F. Chester Gray | PA | 586-4670 |
| 89-17 | Review of the Procurement and Assistance Data System (PADS) | Completed | 1 | ,3,6,9,11, | Quality Assurance | David J. Hoexter | MA-432 | 586-9062 |

| REVIEW NO. | TITLE | STATUS | REVIEW TYPE | REVIEW CATEGORIES | EXPLANATION OF CATEGORY "11, OTHER" | REVIEW POINT OF CONTACT | ORGANI-ZATION | TELEPHONE |
|---|---|---|---|---|---|---|---|---|
| 89-18 | EIA's Forrestal Computer Facility Fiscal Year Long Range Site Plan | Deleted | | | | John H. Yienger | EI-10 | 586-1977 |
| 89-19 | Energy Information Administration (EIA) Planning and Budget Reviews | Completed | 1 | ,11, | Planning and Budget | Bruce D. Dwyer | EI-22 | 586-6460 |
| 89-20 | DOE Information Collection Reviews | Completed | 1 | ,11, | Information Collections | Jeff Martus | MA-513.2 | 586-6359 |
| 89-21 | Comprehensive Review and Reduction of DOE Regulatory and Paperwork Burdens | Completed | 1 | ,11, | Regulations Burden Management | Jeff Martus | MA-513.2 | 586-6359 |
| 89-22 | Audits of DOE ADP Activities | Completed | 1 | ,1,3,4,6,8,9 | | Ben Hsiao | IG-32 | 586-1947 |
| 89-223 | Chicago's Vulnerability Assessment - ADP | Completed | 3 | ,8, | | Joseph P. Gea | CH (InfoMgt | FTS 972-2203 |
| 89-24 | San Francisco's Information Technology Resource (ITR) Management | In Process | 1 | ,1,2,4,8, | | Donald L. Roberts | SAN | FTS 536-4309 |
| 89-25 | Western's FY 1989 ADP Data Center Site Reviews | In Process | 2 | ,2,3,4,8,9, | | Roland W. Sohnholz | WAPA | FTS 327-7407 |
| 89-26 | Western's Management Information System Reviews | Canceled | | | | Roland W. Sohnholz | WAPA | FTS 327-7407 |
| 89-27 | (This review duplicated 89-24 and was withdrawn from the plan) | Deleted | | | | | | |
| 90-01 | Energy Information Administration (EIA) Data Collection Reviews | Planned | 1 | ,5,11, | Information Collections | Herbert Miller | EI-73 | 586-2171 |
| 90-02 | Evaluation of IRM in the Energy Information Administration | Canceled | | | | Richard H. Moore | EI-23 | 586-6485 |
| 90-03 | Records Management Program Review | Planned | 1 | ,4,10,11, | Quality Assurance | Edward Nugent | MA-513.2 | 586-3288 |
| 90-04 | Records Management Appraisal Program | Canceled | | | | Edward Nugent | MA-513.2 | 586-3288 |
| 90-05 | Automatic Data Processing (ADP) Management Reviews | Planned | 1 | ,2,3,4,6,8,9 | | Mary C. Thomas | MA-24 | 353-3524 |

| REVIEW NO. | TITLE | STATUS | REVIEW TYPE | REVIEW CATEGORIES | EXPLANATION OF CATEGORY "11. OTHER" | REVIEW POINT OF CONTACT | ORGANI- ZATION | TELEPHONE |
|---|---|---|---|---|---|---|---|---|
| 90-06 | DOE Major Information Systems (IS) Review Program | Planned | 1 | ,6, | | J. Archie Ruatto | MA-24 | 353-3307 |
| 90-07 | Telecommunications Management Review | Planned | 1 | ,1, | | Donald E. Scott | MA-253 | 353-4643 |
| 90-08 | Germantown Computer Center Upgrade Post-Implementation Review | Planned | 1 | ,3,4,8, | | Eva T. Jun | MA-254 | 353-4620 |
| 90-09 | Financial Management System Review Program | Planned | 7 | ,4,5,6, | | McKinley E. Bryant | MA-32 | 353-2551 |
| 90-11 | Departmental Forms Review | Planned | 1 | ,10, | | Sharon Evelin | MA-513.2 | 586-3290 |
| 90-12 | DOE Real Property Inventory System (RPIS) Review | Planned | 1 | ,2,4,6, | | Richard W. Earl | MA-222 | 586-1191 |
| 90-13 | Performance of Commercial Activities (A-76) | Reschedule | 6 | ,4, | | Richard S. Moore | MA-513.1 | 586-3295 |
| 90-14 | DOE Publications Review (Periodicals & Public Communications) | Planned | 8 | ,4,11, | Publications Management | F. Chester Gray | PA | 586-4670 |
| 90-15 | EIA's Forrestal Computer Facility Fiscal Year Long Range Site Plan | Deleted | | | | John H. Yienger | EI-10 | 586-1977 |
| 90-16 | Energy Information Administration (EIA) Planning and Budget Reviews | Planned | 1 | ,11, | Planning and Budget | Bruce D. Dwyer | EI-22 | 586-6460 |
| 90-17 | DOE Information Collection Reviews | Planned | 1 | ,11, | Information Collections | Jeff Martus | MA-513.2 | 586-6359 |
| 90-18 | Western's FY 1990 ADP Data Center Site Reviews | Planned | 2 | ,2,3,4,8,9, | | Roland W. Sohnholz | WAPA | FTS 327-7407 |
| 90-19 | Western's Management Information System Reviews | Planned | 1 | ,6, | | Roland W. Sohnholz | WAPA | FTS 327-7407 |
| 90-20 | Internal Control Evaluation of the EIA Program Offices | Planned | 2 | ,4,6, | | Richard H. Moore | EI-23.1 | 586-6485 |
| 91-01 | Energy Information Administration (EIA) Data Collections Review | Planned | 1 | ,5,11, | Information Collections | Herb Miller | EI-73 | 586-2152 |

| REVIEW NO. | TITLE | STATUS | REVIEW TYPE | REVIEW CATEGORIES | EXPLANATION OF CATEGORY "11, OTHER" | REVIEW POINT OF CONTACT | ORGANI-ZATION | TELEPHONE |
|---|---|---|---|---|---|---|---|---|
| 91-02 | Records Management Program Review | Planned | 1 | ,4,10,11, | | Ed Nugent | MA-513.2 | 586-3288 |
| 91-03 | Records Management Appraisal Program | Planned | 1 | ,4,10, | | Ed Nugent | MA-513.2 | 586-3288 |
| 91-04 | ADP Management Reviews | Planned | 1 | ,2,3,4,6,8,9 | | Mary C. Thomas | MA-24 | 353-3524 |
| 91-05 | DOE Major Information Systems Review Program | Planned | 1 | ,6, | | J. Archie Ruatto | MA-24 | 353-3307 |
| 91-06 | Telecommunications Management Review | Planned | 1 | ,1, | | Donald E. Scott | MA-253 | 353-4643 |
| 91-07 | Financial Management System Review Program | Planned | 7 | ,4,5,6, | | McKinley E. Bryant | MA-32 | 353-2551 |
| 91-08 | DOE Information Collection Reviews | Planned | 1 | ,11, | Information Collections | Jeff Martus | MA-513.2 | 586-6359 |
| 91-09 | Departmental Forms Review | Planned | 1 | ,10, | | Sharon Evelin | MA-513.2 | 586-3290 |
| 91-10 | DOE Real Property Inventory System (RPIS) Review | Planned | 1 | ,2,4,6, | | Richard W. Earl | MA-222 | 586-1191 |
| 91-11 | Performance of Commercial Activities (A-76) | Planned | 6 | ,4, | | Richard S. Moore | MA-513.1 | 586-3295 |
| 91-12 | DOE Publications Review (Periodicals & Public Communications) | Planned | 8 | ,11, | Publications Management | F. Chester Gray | PA | 586-4670 |
| 91-13 | EIA's Forrestal Computer Facility Fiscal Year Long Range Site Plan | Deleted | | | | John H. Yienger | EI-10 | 586-1977 |
| 91-14 | Energy Information Administration (EIA) Planning and Budget Reviews | Planned | 1 | ,11, | Planning and Budget | Bruce D. Dwyer | EI-22 | 586-6460 |
| 91-15 | Review of Uranium Enrichment Paperwork Burden | Planned | 3 | ,11, | Information Collections | Alexander Lyman | NE-13 | 353-4380 |
| 91-16 | Chicago's Vulnerability Assessment - Telecommunications | Planned | 3 | ,1, | | Daniel E. Hamacher | CH | FTS 972-2235 |
| 91-17 | Western's FY 1991 ADP Data Center Site Reviews | Planned | 2 | ,2,3,4,8,9, | | Roland W. Sohnholz | WAPA | FTS 327-7407 |

| REVIEW NO. | TITLE | STATUS | REVIEW TYPE | REVIEW CATEGORIES | EXPLANATION OF CATEGORY "11. OTHER" | REVIEW POINT OF CONTACT | ORGANI- ZATION | TELEPHONE |
|---|---|---|---|---|---|---|---|---|
| 91-18 | Western's Management Information System Reviews | Planned | 1 | ,6, | | Roland W. Sohnholz | WAPA | FTS 327-7407 |

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│                    CODE KEY FOR "REVIEW TYPE" AND "REVIEW CATEGORY"               │
│                                                                                   │
│        REVIEW TYPE                                    REVIEW CATEGORY             │
│                                                                                   │
│   1.  IRM                                         1.  TELECOMMUNICATIONS          │
│   2.  INTERNAL CONTROL REVIEW (A-123)             2.  END USER COMPUTING          │
│   3.  VULNERABILITY ASSESSMENT (A-123)            3.  SOFTWARE MANAGEMENT         │
│   4.  INSPECTOR GENERAL AUDIT                     4.  INFORMATION MANAGEMENT      │
│   5.  SECURITY (A-130)                            5.  ELECTRONIC FILING           │
│   6.  PERFORMANCE OF COMMERCIAL ACTIVITIES        6.  MAJOR INFORMATION SYSTEM    │
│       (A-76 REVIEW)                               7.  COMPLIANCE WITH PRA SEC 3506│
│   7.  FINANCIAL (A-127)                           8.  ADP MANAGEMENT              │
│   8.  OTHER                                       9.  SECURITY                    │
│                                                  10.  RECORDS MANAGEMENT          │
│                                                  11.  OTHER                       │
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IRM REVIEW SYNOPSIS (FY 1989 REVIEW)

**REVIEW TITLE:** Energy Information Administration (EIA) Data Collection Reviews

**DOE REVIEW NUMBER:** 89-01

**REVIEW TYPE:** 1     **REVIEW CATEGORY(IES):** 5,11 (Information Collections)

**STATUS OR RESULT:**    _x_ Review completed.    ___Review in process.
                         ___Review postponed/rescheduled.
                         ___Review canceled.
                         ___Other.

**OBJECTIVES OF REVIEW:** Reviews cover groups of subject-related energy information and statistical collections and are concerned with the statutory or other necessity for the collections. Statistical methodology, uses, user need studies and presurvey consultations, and assurance that the collections place the least burden on the public, have practical utility, and do not duplicate other existing collections, are all reviewed. In selected areas, an additional clearance review is conducted focusing on data comparability, changes in industry structures and practices, and other quality assurance issues.

**REVIEW SYNOPSIS:** During FY 1989, EIA used the program approach on three information collection packages: the Electric Power Surveys, the Petroleum Supply Reporting System (PSRS), and the Coal Program. The program reviews allowed EIA to focus on the elimination of data elements, the coordination of information collections in defined program areas, and the implementation of new data collection methodologies. Comments were solicited from the public and other Federal agencies, internal reviews were conducted by various DOE offices, meetings were held with industry representatives and OMB staff, and independent expert reviews were conducted by the Quality Assurance Division of the Office of Statistical Standards, along with preclearance reviews in order to meet the objectives stated above. Similar reviews were also conducted on two specific information collections: the Manufacturing Energy Consumption Survey (MECS) and the Commercial Buildings Energy Consumption Survey (CBES). Improvements were made to the MECS and CBECS which were approved by OMB in FY 1989.

**PRIMARY FINDINGS:**  Burden reduction goals are being met in part as a result of these reviews.  EIA uses these reviews to revise and update its information collections to better meet the energy information needs of EIA, DOE, and others.  In addition, the implementation of electronic information collection techniques is also being well received (e.g., PSRS expanded the use of an electronic reporting option in FY 1989) and should ultimately help minimize respondent burden.  Industry continues to show a willingness to work with EIA in these areas.

**PRIMARY RECOMMENDATIONS:**  At OMB's suggestion, EIA continues to work with the public and with government representatives to address possible data duplication between coal and petroleum marketing data collected by EIA and data collected by other Federal agencies.

**INITIATIVES AND ACTIONS:**  The Electric Power Surveys' respondent burden is expected to be reduced by approximately 2,000 hours in FY 1990.  This clearance package, to be submitted to OMB in FY 1989, addresses issues and recommendations from the preclearance review.  The reviews of the PSRS and the Coal Program Package were recounted in the FY 1988 synopsis.  The packages were approved by OMB in FY 1989.

Discussions, nevertheless, continued in FY 1989 with OMB and the Coal Industry Working Group to resolve issues concerning possible duplication of data reporting in the Coal Program with other Federal information collections.  The Quality Assurance Division of the Office of Statistical Standards also began a preclearance review and two independent expert reviews of the Petroleum Marketing Program Surveys and these reviews will be completed in FY 1990.  The Petroleum Marketing Division will address these reviews in its clearance package to be submitted to OMB in FY 1990.

An independent expert review of the EIA-858, Uranium Industry Annual (part of EIA's Nuclear and Uranium Data Program), was conducted in FY 1989, and responses to the review recommendations will be included in the next clearance package to be submitted in FY 1991.

**ORGANIZATION CONTACT NAME:**  Herbert Miller

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Energy Information Administration, 586-2171.

IRM REVIEW SYNOPSIS (FY 1989 REVIEW)

**REVIEW TITLE:** Evaluation of IRM in the Energy Information Administration

**DOE REVIEW NUMBER:** 89-02

**REVIEW TYPE:** 1    **REVIEW CATEGORY(IES):** 4, 10, 11 (QA)

**STATUS OR RESULT:**    ___Review completed.    _x_Review in process.
___Review postponed/rescheduled.
___Review canceled.
___Other.

**OBJECTIVES OF REVIEW:** Review will involve evaluation of selected IRM activities in EIA under the purview of the Office of Planning, Management, and Information Services, including: (a) records management, (b) telecommunications and telephone inquiry services, (c) information technology status, requirements, trends, and options, (d) information systems standards, integration, and ongoing modernization, and (e) other IRM matters.

**REVIEW SYNOPSIS:** A contractor is conducting the evaluation which is presently scheduled for completion next year.

**PRIMARY FINDINGS:** To be determined.

**PRIMARY RECOMMENDATIONS:** To be determined.

**INITIATIVES AND ACTIONS:** To be determined.

**ORGANIZATION CONTACT NAME:** Richard H. Moore

**LOCATION AND TELEPHONE NUMBER:** DOE Headquarters, Energy Information Administration, 586-6485.

## IRM REVIEW SYNOPSIS (FY 1989 REVIEW)

**REVIEW TITLE:** Internal Control Evaluation of EIA's Office of Statistical Standards (OSS)

**DOE REVIEW NUMBER:** 89-03

**REVIEW TYPE:** 2    **REVIEW CATEGORY(IES):** 11 (QA)

**STATUS OR RESULT:**    ___Review completed.    _x_Review in process.
___Review postponed/rescheduled.
___Review canceled.
___Other.

**OBJECTIVES OF REVIEW:** Review involves an internal control evaluation (ICE) of the EIA office responsible for EIA's quality program.

**REVIEW SYNOPSIS:** Four areas of activity were reviewed by staff and management teams assembled within OSS: contract task recordkeeping; information collection request management; follow-up of OSS quality reviews; and retention center controls and retrieval procedures.

**PRIMARY FINDINGS:** There are no material weaknesses in OSS internal controls. Areas for improvement were identified for the documentation of contract task monitoring, follow-up and control of longer-term quality recommendations, and updating of retention center filings.

**PRIMARY RECOMMENDATIONS:** (1) Standardize recordkeeping requirements, and retention of deliverables for contract tasks; (2) develop and implement an automated management information system for follow-up and control of responses to longer-term quality recommendations; and (3) augmenting procedural requirements and updating holdings and computer files for the retention center.

**INITIATIVES AND ACTIONS:** Currently under review by senior management.

**ORGANIZATION CONTACT NAME:** William I. Weinig

**LOCATION AND TELEPHONE NUMBER:** DOE Headquarters, Energy Information Administration, 586-2196.

IRM REVIEW SYNOPSIS (FY 1989 REVIEW)

**REVIEW TITLE:**  Internal Control Evaluation of the EIA Program Offices

**DOE REVIEW NUMBER:**  89-04 (DELETED, SEE 90-20)

**REVIEW TYPE:**  N/A     **REVIEW CATEGORY(IES):**  N/A

**STATUS OR RESULT:**     ___Review completed.     ___Review in process.
                          ___Review postponed/rescheduled.
                          ___Review canceled.
                          _x_Other (REVIEW LISTED IN ERROR)

**OBJECTIVES OF REVIEW:**  Not applicable.

**REVIEW SYNOPSIS:**  This review was DELETED.  The review project was not intended as an FY 1989 initiative.  See DOE Review 90-20, same title.

**PRIMARY FINDINGS:**  Not applicable.

**PRIMARY RECOMMENDATIONS:**  Not applicable.

**INITIATIVES AND ACTIONS:**  Not applicable.

**ORGANIZATION CONTACT NAME:**  Richard H. Moore

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Energy Information Administration, 586-6485.

Department of Energy
Information Resources Management Review Plan
FY 1989 - FY 1991 Cycle

<u>IRM REVIEW SYNOPSIS (FY 1989 REVIEW)</u>

**REVIEW TITLE:** Vulnerability Assessment of the National Energy Information System

**DOE REVIEW NUMBER:** 89-05 (DELETED)

**REVIEW TYPE:** N/A        **REVIEW CATEGORY(IES):** N/A

**STATUS OR RESULT:**      ___Review completed.      ___Review in process.
                          ___Review postponed/rescheduled.
                          ___Review canceled.
                          _x_Other (REVIEW LISTED IN ERROR)

**OBJECTIVES OF REVIEW:** Not applicable.

**REVIEW SYNOPSIS:** This review was DELETED. The review was intended as an FY 1991 initiative. It will be listed as DOE Review 91-19.

**PRIMARY FINDINGS:** Not applicable.

**PRIMARY RECOMMENDATIONS:** Not applicable.

**INITIATIVES AND ACTIONS:** Not applicable.

**ORGANIZATION CONTACT NAME:** Richard H. Moore

**LOCATION AND TELEPHONE NUMBER:** DOE Headquarters, Energy Information Administration, 586-6485.

IRM REVIEW SYNOPSIS (FY 1989 REVIEW)

**REVIEW TITLE:**  Records Management Program Review

**DOE REVIEW NUMBER:**  89-07

**REVIEW TYPE:**   1      **REVIEW CATEGORY(IES):**  4, 10, 11 (QA)

**STATUS OR RESULT:**      ___Review completed.     _x_Review in process.
___Review postponed/rescheduled.
___Review canceled.
___Other.

**OBJECTIVES OF REVIEW:**  The review of the program is intended to cause steps to be taken to not only substantially improve the program but also to implement changes that will use evolving technologies, especially automation, to move the program from its manual operations to technologically sound operations and thereby reduce the manpower now required to maintain its status.  The review is also intended to be sustained until its objectives are met.

**REVIEW SYNOPSIS:**  The improvement of the records program, initiated several years ago, was boosted substantially by the National Archives and Records Administration evaluation which was reported to the Department in early CY 1989.  As a result of that evaluation, much of which validated previous esti- mates of the program, concerted efforts are underway to respond to its many recommendations.  In addition, as a result of actions taken in FY 1988 and early FY 1989, both parts of the continuing review, a number of significant actions were completed.  These included approval of a number of new records schedules: the contractor personnel and training schedules; the Bonneville Power Administration Records Schedule; acceptance by the National Archives of the proposed research and development records schedule; and a number of site specific schedules.  These schedules, when taken together with previously approved schedules, cover an estimated 90% of the records of the Department.  In addition, the Office of Civilian Radioactive Waste Management, the Office of the New Production Reactor, and the Office of the Superconducting Super Collider are all preparing schedules for the approval of the National Archives.  Thus the IRM review has favorably impacted on the records program.

While the schedule actions are important, other actions which show considerable advances include the approval by the Office of Federal Records Centers for four field offices to transfer unscheduled records to the servicing Federal Records Centers (FRC), and a number of approvals to transfer contingent records to the servicing FRC. These actions will result in the use of low cost storage space at the FRC's as opposed to storing records in office space or in nonapproved storage facilities, and are, in effect, a cost avoidance.

**PRIMARY FINDINGS:** As was determined in prior years, it is still apparent that the use of workgroups, composed of Federal and management and operating contractor records officers, is an effective means of addressing and resolving the issues that face the Department. The National Archives and Records Administration evaluation, whose final report was delayed, documented in a clear and concise manner many of the issues which were known or suspected in the records area.

**PRIMARY RECOMMENDATIONS:** The primary recommendation is to continue to track and solve the numerous issues, some of which are highly complex, of the National Archives evaluation. Equally important is the need to make known to management the importance and the impact of the records program. Current events in the Department clearly show that substantial improvements need to be made in this area, and top management has not yet focused on this, although lack of documentation repeatedly has been cited as a serious Departmentwide deficiency.

**INITIATIVES AND ACTIONS:** Efforts to deal with the National Archives evaluation have been underway since its first draft, although there is a divergence of opinion regarding timing and approach to the many issues raised. The March 1989 records workshop created several new workgroups which have been tasked with a majority of the citations in the evaluation, and serious work will not begin until the first quarter of FY 90 due to shortages of travel funds and final approvals of initiatives are gained. In addition, all inspection, evaluation, and appraisal teams sponsored by the various Departmental organizations are scheduled to be briefed on records and documentation requirements to enable them to assist in getting the records program the credibility it needs to be effective and in compliance with its governing regulations. Equally as important is the action taken by the records office to meet with each new program and project office, such as the Office of Civilian Radioactive Waste Management, the Office of the New Production Reactor, and the Office of the Superconducting Super Collider, to assure that each of them initiate proper actions in regard to their records and documentation requirements. This activity will continue as a routine application of good records practices, and it has been highly effective.

**ORGANIZATION CONTACT NAME:** Edward Nugent

**LOCATION AND TELEPHONE NUMBER:** DOE Headquarters, Information Management Branch, Office of Organization and Management Systems, 586-3288.

Department of Energy
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## IRM REVIEW SYNOPSIS (FY 1989 REVIEW)

**REVIEW TITLE:**  Records Management Appraisal Program

**DOE REVIEW NUMBER:**  89-08 (CANCELED)

**REVIEW TYPE:**  N/A     **REVIEW CATEGORY(IES):**  N/A

**STATUS OR RESULT:**     ___Review completed.     ___Review in process.
                          ___Review postponed/rescheduled.
                          _x_Review canceled.
                          ___Other.

**OBJECTIVES OF REVIEW:**  To appraise the records management programs of selected Headquarters offices, Field offices, and DOE-contractor offices through a program featuring site visits.

**REVIEW SYNOPSIS:**  The planned appraisal program was not initiated due to lack of financial and manpower resources.  In an attempt to provide an alternate means of appraising the field offices reporting directly to the Department, a request for contractor support has been made to help to determine if other viable means exist to carry out this program.  Until the study is complete and properly reviewed, no activity will occur in the area of appraisals.

**PRIMARY FINDINGS:**  Not applicable.

**PRIMARY RECOMMENDATIONS:**  Not applicable.

**INITIATIVES AND ACTIONS:**  Not applicable.

**ORGANIZATION CONTACT NAME:**  Edward Nugent

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Information Management Branch, Office of Organization and Management Systems, 586-3288.

**REVIEW TITLE:**  Automatic Data Processing (ADP) Management Reviews

**DOE REVIEW NUMBER:**  89-09

**REVIEW TYPE:**  1     **REVIEW CATEGORY(IES):**  2,3,4,6,8,9

**STATUS OR RESULT:**   _x_ Review completed except for Southwestern Power
Administration which was postponed until FY 1990.

**OBJECTIVES OF REVIEW:**  To provide an oversight of, and assure compliance
with, Departmental policies and procedures governing computing resources,
information systems (IS) management, and unclassified computer security (UCS)
programs as prescribed by DOE directives.

**SYNOPSIS OF REVIEW:**  The reviews by personnel from the Office of ADP
Management focused on compliance with DOE Order 1330.1B, "Management of
Automated Information Systems and Data Resources," DOE Order 1360.1A,
"Acquisition and Management of Computing Resources," DOE Order 1360.2A,
"Computer Security Program for Unclassified Computer Systems," and existing
site-developed directives.  ADP long- and short-range planning processes were
reviewed to ensure that adequate resources exist to accomplish programmatic
goals and objectives.  A selective review of ADPE acquisitions is
accomplished to ensure an effective and efficient acquisition process.  The
"Statement of strategy for hardware costing $25,000 or less" is reviewed to
ascertain that the local computing resources program has been implemented and
used in accordance with the proposed strategy.  IS are reviewed to ensure
that user requirements are being met, that the system has a purpose, and that
the system is being operated and maintained in a cost-effective and efficient
manner.

Oversight of the UCS program includes compliance reviews performed at all DOE
facilities processing sensitive unclassified data.  This process ensures
compliance with DOE directives and site-developed directives.  Results of
these UCS compliance reviews are incorporated into the annual assurance
memorandum on ADP internal controls.

**PRIMARY FINDINGS:**  Organizations reviewed and found to be in compliance with
Departmental policies included:

o  Savannah River Operations Office
o  Oak Ridge Operations Office
o  Morgantown Energy Technology Center
o  Energy Information Administration
o  Albuquerque Operations Office
o  Pittsburgh Energy Technology Center
o  Chicago Operations Office
o  (Review of Southwestern Power Administration, for UCS only, postponed until
   FY 1990)

**RECOMMENDATIONS:**  Recommendations were proposed for consideration by the management of the subject organizations.

**INITIATIVES AND ACTIONS:**  Management of those organizations reviewed will take the necessary actions deemed appropriate to maintain compliance with Departmental policies and procedures as prescribed by DOE directives.

**ORGANIZATION CONTACT NAME:**  Mary C. Thomas

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Office of ADP Management, 353-3524.

**REVIEW TITLE:**  DOE Major Information Systems (IS) Review Program

**DOE REVIEW NUMBER:**  89-10

**REVIEW TYPE:**  1    **REVIEW CATEGORY(IES):**  6

**STATUS OR RESULT:**    Review completed -- Integrated Payroll/Personnel System
(PAY/PERS)
Review completed -- Waste Information Network (WIN)
Review in process -- Nuclear Waste Materials Management
and Safeguards System (NMMSS)
Review postponed/rescheduled -- Departmental Integrated
Standardized Core Accounting System (DISCAS)

**OBJECTIVES OF REVIEW:**  All DOE operational automated information systems (IS)
are required to be reviewed every 3 years.  The Office of Automatic Data
Processing Management reviews those IS which have been reported to OMB as
major IS.  Each IS review determined the extent to which the system is
satisfying requirements and meeting intended objectives.  Also, each review
addressed the system's input and sources, output and recipients, data elements
and definitions, operational efficiency and costs, documentation, unclassified
computer security, and any other recent evaluations.

**SYNOPSIS OF REVIEW:**  During this reporting period, a review of the PAY/PERS
System was completed, and reviews of the WIN and NMMSS were started.  The
reviews evaluated the overall effectiveness of each system, including current
hardware/software configurations, and the following specific factors:
timeliness, accuracy, usefulness, efficiency, internal controls, unclassified
computer security, user and system interfaces, and documentation.

Each review began with the screening and evaluation of all available
documentation of the subject system.  Interviews were conducted with the
system's management personnel, users, other organizations impacted by the
system, and support programmers.  An Information Process Flow Report and a
final report of review findings and recommendations were prepared for each
review.

The PAY/PERS review began in FY 1988 and was not completed until FY 1989.

The WIN review was scheduled to begin during the first quarter of 1989, but because of another priority project, did not begin until the second quarter of 1989.

The NMMSS System Review was scheduled to begin during the third quarter of 1989, but did not begin until the fourth quarter of 1989 and will be completed the second quarter of 1990.

The DISCAS review was rescheduled to begin the first quarter of 1990.

**PRIMARY FINDINGS:** PAY/PERS: Found to be a well-managed system that more than adequately meets the needs of its users. WIN: The final report is currently being completed, and findings will not be available until October 1989. NMMSS: To be determined January 1990.

**PRIMARY RECOMMENDATIONS:** PAY/PERS: Most of the recommendations offered were to increase PAY/PERS operational effectiveness or user capabilities. WIN: To be determined October 1989. NMMSS: To be determined January 1990.

**INITIATIVES AND ACTIONS:** PAY/PERS: As resources permit, action has been taken or planned regarding the proposed recommendations. WIN: To be determined October 1989. NMMSS: To be determined January 1990.

**ORGANIZATION CONTACT NAME:** J. Archie Ruatto

**LOCATION AND TELEPHONE NUMBER:** DOE Headquarters, Office of ADP Management, 353-3307.

IRM REVIEW SYNOPSIS (FY 1989 REVIEW)


**REVIEW TITLE:**  Telecommunications Management Review

**DOE REVIEW NUMBER:**  89-11

**REVIEW TYPE:**  1     **REVIEW CATEGORY(IES):**  1

**STATUS OR RESULT:**     ___Review completed.     _x_Review in process.
                         ___Review postponed/rescheduled.
                         ___Review canceled.
                         ___Other.

**OBJECTIVES OF REVIEW:**  (1) Improve overall performance and efficiency of the voice and data communications and spectrum-dependent programs; (2) reduce costs; and (3) promote measures of sound management practices to avoid waste, fraud, and abuse.

**REVIEW SYNOPSIS:**  During FY 1989 three telecommunications management reviews were scheduled.  The Richland Operations Office appraisal was conducted in July 1989; the Western Area Power Administration review was conducted in August 1989; and the Albuquerque Operations Office appraisal is scheduled for September 1989.

The formal reviews are conducted in accordance with comprehensive field appraisal program procedures approved by the Director of Computer Services and Telecommunications Management.  The reviews focus on compliance with applicable Government regulations; DOE orders and policies; program and operating efficiency, budgeting, and long-range planning; and oversight of Government contractors.

A review team from Headquarters was assembled consisting of a representative from each of the functional areas -- voice communications, data communications, and radiocommunications.  Several methods are used to collect data:  field office submission of local implementing directives and procedures, organizational structures, Memorandums of Understanding and Agreements with other Government agencies, and plans and procedures for emergency use of telecommunications services; interviews with site staff; and site input to long-range planning process.

**PRIMARY FINDINGS:**  Only one review, Richland Operations Office, has been completed to date.  This review was originally scheduled for June 1989 and was changed at Richland's request.  The final report has not been completed.  Two additional reviews will be completed before the end of the fiscal year.

**PRIMARY RECOMMENDATIONS:**  To be determined.

**INITIATIVES AND ACTIONS:**  To be determined.  Sites reviewed will be given the opportunity to respond to the draft reports and recommendations to include their intended actions in response to the improvements suggested.  Final reports will then be issued.

**ORGANIZATION CONTACT NAME:**  Donald E. Scott

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Telecommunications Division, 353-4643.

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IRM REVIEW SYNOPSIS (FY 1989 REVIEW)

**REVIEW TITLE:** Financial Management System Review Program

**DOE REVIEW NUMBER:** 89-12

**REVIEW TYPE:** 7    **REVIEW CATEGORY(IES):** 4, 5, 6

**STATUS OR RESULT:**    ___Review completed.    _x_Review in process.
                        ___Review postponed/rescheduled.
                        ___Review canceled.
                        ___Other.

**OBJECTIVES OF REVIEW:** To evaluate all components of the Department's financial management system to determine compliance with OMB Circular A-127 objectives.

**REVIEW SYNOPSIS:** An evaluation of the Department's financial management system is in process. The evaluation is being performed by both Headquarters and Field organizations and includes the following components:

- The Departmental Integrated Standardized Core Accounting System (DISCAS);

- The Payroll/Personnel System (PAY/PERS);

- The accounting systems of the five Power Marketing Administrations;

- The Department's Financial Information System (FIS);

- The Departmental Budget Formulation System; and

- The Departmental Budget Execution System.

The Department's conformance review process is designed to comply with OMB's "Guidelines for Evaluating Financial Management/Accounting Systems." These guidelines require the performance of limited financial management system reviews annually and detailed financial management system reviews at least once every five years. The Department uses a self-assessment questionnaire approach to satisfy limited review requirements and detailed reviews, which include system testing, are being independently performed by a contractor on those offices scheduled for review in 1989.

There have been 16 limited and 6 detailed financial management system reviews performed at various times throughout the year. The results of these reviews will be included in the year-end assurance memorandums required by the Department's Federal Managers' Financial Integrity Act process. These assurance memorandums are to address the status of financial management systems as of September 30, 1989. Field organizations are to submit their memorandums by October 16, 1989, and Headquarters organizations by November 7, 1989.

**PRIMARY FINDINGS:** Findings which result from the financial management system reviews will not be fully known until all assurance memorandums have been received.

**PRIMARY RECOMMENDATIONS:** In accordance with Departmental policy, corrective action plans to address all reported findings are to be developed by Headquarters and Field organizations which report nonconformances with OMB Circular A-127 objectives.

**INITIATIVES AND ACTIONS:** All items included in corrective action plans will be tracked until final completion of each proposed improvement.

**ORGANIZATION CONTACT NAME:** McKinley E. Bryant

**LOCATION AND TELEPHONE NUMBER:** DOE Headquarters, Office of Compliance and Audit Liaison, 353-2551.

## IRM REVIEW SYNOPSIS (FY 1989 REVIEW)

**REVIEW TITLE:**  Departmental Forms Review

**DOE REVIEW NUMBER:**  89-13

**REVIEW TYPE:**    1    **REVIEW CATEGORY(IES):**  10

**STATUS OR RESULT:**    ___Review completed.    _x_Review in process.
___Review postponed/rescheduled.
___Review canceled.
___Other.

**OBJECTIVES OF REVIEW:**  To improve current forms management, forms processing, and forms storage and distribution procedures and techniques by pilot testing an electronic forms system and evaluating its efficiency and effectiveness.

**REVIEW SYNOPSIS:**  It was anticipated that the volume of forms used in hard copy could be reduced by the introduction and use of an electronic forms processing package.  Blank forms can be stored in microcomputers, data entered in appropriate blocks on the electronic form, and completed (filled in) forms can be printed by the user on a laser printer (thereby reducing the need for forms storage and distribution) or transmitted electronically.  Several off-the-shelf forms software packages were evaluated by the Information Management Branch, Office of Organization and Management Systems.  A selection was made and software was procured in FY 1989.  Fifty workstations with a library of about 20 forms were installed at Headquarters in July and August 1989.  A training class was developed and offered to participants in August and September.  A user survey will be conducted in November to assist in evaluating the efficiency and effectiveness of the system.  A report of the findings and recommended actions will be prepared in December.

**PRIMARY FINDINGS:**  To be determined.

**PRIMARY RECOMMENDATIONS:**  To be determined.

**INITIATIVES AND ACTIONS:**  To be determined.

**ORGANIZATION CONTACT NAME:**  Sharon Evelin

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Information Management Branch, 586-3290.
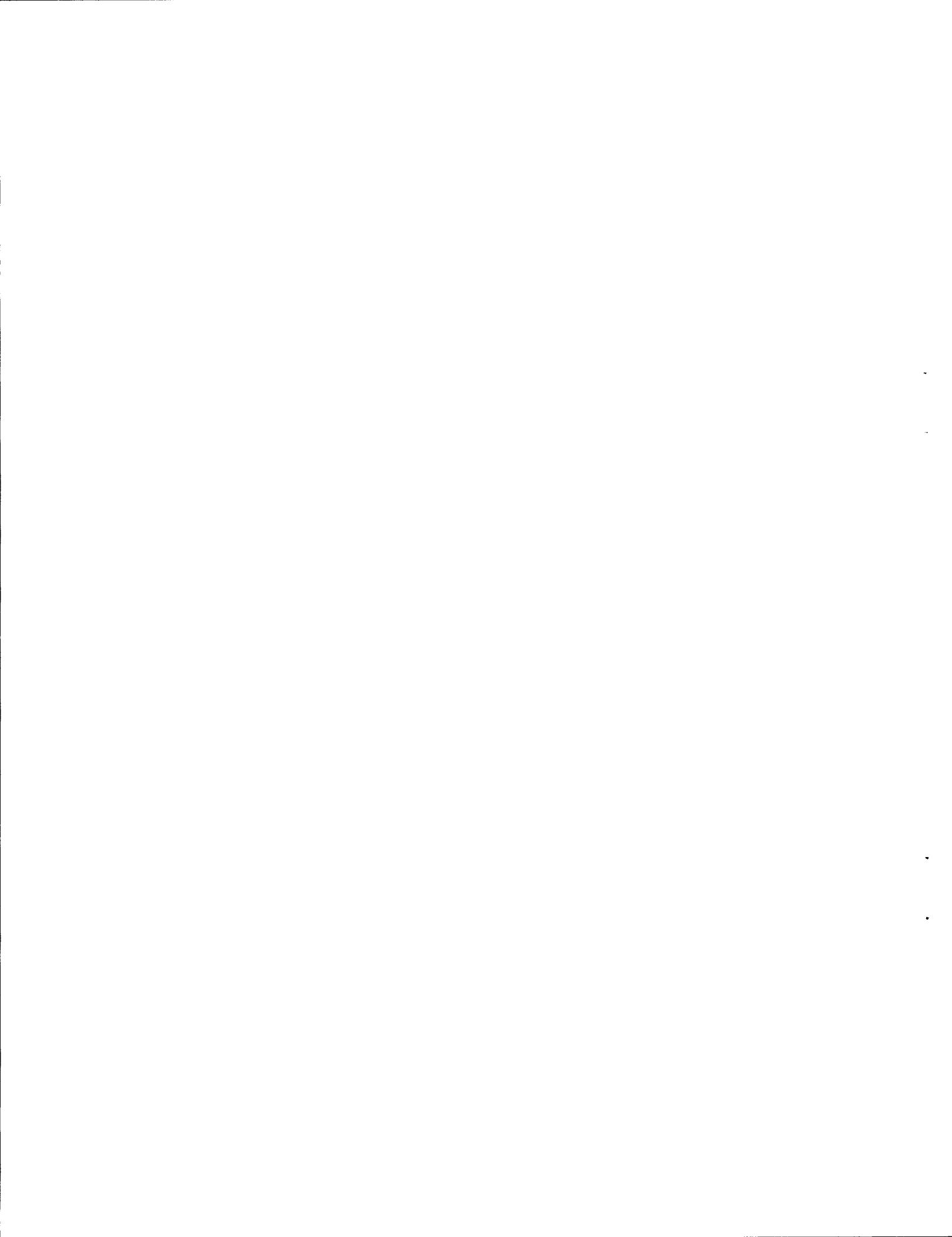
IRM REVIEW SYNOPSIS (FY 1989 REVIEW)

**REVIEW TITLE:** DOE Real Property Inventory System (RPIS) Review

**DOE REVIEW NUMBER:** 89-14

**REVIEW TYPE:** 1     **REVIEW CATEGORY(IES):** 2, 4, 6

**STATUS OR RESULT:**    _x_Review completed.   ___Review in process.
                       ___Review postponed/rescheduled.
                       ___Review canceled.
                       ___Other.

**OBJECTIVES OF REVIEW:** To review the RPIS data elements to determine if they are efficiently accomplishing critical property management functions and satisfying particular major reporting requirements. Further, the review was to certify current data elements did not exist in other major Departmental computer systems.

**REVIEW SYNOPSIS:** A review was conducted by Office of Project and Facilities Management Division staff members to analyze whether the RPIS data elements were efficiently fulfilling necessary reporting requirements and property management functions. Each data element was canvassed thoroughly regarding its purpose and applicability both to the system and program objectives. A complete review also was made of the data element descriptions and affiliated requirements to bring them into compliance with current real property definitions.

**PRIMARY FINDINGS:** Current RPIS data elements were essential in maintaining an accurate accountability of DOE's owned and leased property. Each element describes a particular characteristic of land, building, and other structures and facilities, and would have a disastrous impact on the precise definition of real property if any data elements were deleted.

**PRIMARY RECOMMENDATIONS:** It was recommended that none of the data elements be deleted from RPIS at this time. Future program requirements may necessitate additional data elements.

**INITIATIVES AND ACTIONS:** Impact on reporting requirements and management of the system will not change. The only change foreseen is in the increased use of the RPIS as field organizations recognize the accuracy of the data and the simplicity of retrieving data in various formats.

**ORGANIZATION CONTACT NAME:** Richard W. Earl

**LOCATION AND TELEPHONE NUMBER:** DOE Headquarters, Real Property and Facilities Management Division, 586-1191.
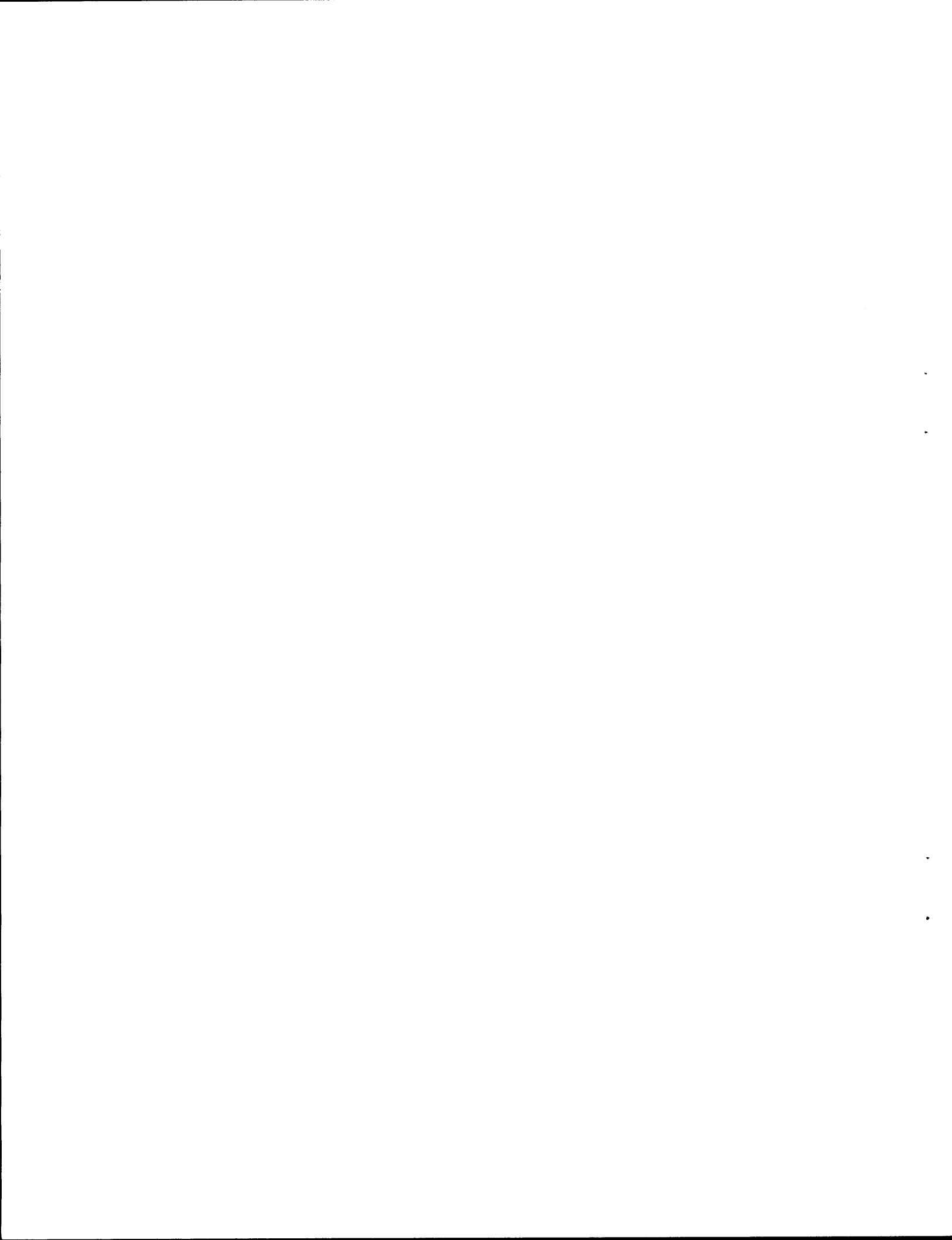
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IRM REVIEW SYNOPSIS (FY 1989 REVIEW)

**REVIEW TITLE:** Performance of Commercial Activities (A-76)

**DOE REVIEW NUMBER:** 89-15

**REVIEW TYPE:** 6    **REVIEW CATEGORY(IES):** 4

**STATUS OR RESULT:** ___Review completed.    _x_Review in process.
___Review postponed/rescheduled.
___Review canceled.
___Other.

**OBJECTIVES OF REVIEW:** DOE A-76 reviews of IRM activities have as their objective the determination of whether in-house performance or contract operation is more economical.

**REVIEW SYNOPSIS:** The A-76 study of both the mapping services activity at Bonneville Power Administration (BPA) (Portland, Oregon) and the security clearance processing at Headquarters (Germantown, Maryland) were postponed until FY 1990 when OMB publishes the required Federal Register Notice on DOE's A-76 review schedule. OMB Circular A-76 requires that an activity be published in the Federal Register 30 days before the study may begin. A-76 studies of library operations and computer operations at BPA started in FY 1988 and continued in FY 1989. Both studies are scheduled for completion in FY 1990. In addition, an A-76 study of ADP operations and data services at Germantown started in FY 1985 and is scheduled for completion in FY 1990.

**PRIMARY FINDINGS:** For studies scheduled to start in FY 1989, there are no findings as the A-76 studies were not completed. However, during FY 1989, two A-76 studies that started in FY 1988 were completed. An annual savings of $197,090 and 7 FTE's was realized by realigning supply and facility services at BPA and graphic services at DOE's Germantown Office. The realignment recommended by the A-76 studies made both activities less expensive to retain in-house than to contract.

**PRIMARY RECOMMENDATIONS:** There were no recommendations on the A-76 studies scheduled to start in FY 1989 because they were not completed.

**INITIATIVES AND ACTIONS:** Since there were no A-76 studies started in FY 1989, there were no actions taken.  The two studies that were started in FY 1988 and completed in FY 1989 were retained in-house with appropriate operating changes that resulted in annual savings of $197,090 and 7 FTE's.

**ORGANIZATION CONTACT NAME:**  Richard S. Moore

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Management Systems Development and Evaluation Branch, Office of Organization and Management Systems, 586-3295.

IRM REVIEW SYNOPSIS (FY 1989 REVIEW)

**REVIEW TITLE:** DOE Publications Review (Periodicals and Public Communications)

**DOE REVIEW NUMBER:** 89-16

**REVIEW TYPE:** 8    **REVIEW CATEGORY(IES):** 4, 11 (Publications Management)

**STATUS OR RESULT:**    ___Review completed.    X__Review in process.
___Review postponed/rescheduled.
___Review canceled.
___Other.

**OBJECTIVES OF REVIEW:** To minimize the costs of DOE-funded publications
distributed to a non-Federal government audience by reviewing them prior to
printing; to annually compile and report on all DOE-funded periodicals and
non-periodical DOE-funded publications; to annually purge mailing lists; and
to identify and report on data disseminated electronically to the public.

**REVIEW SYNOPSIS:** In response to OMB Circular A-3, Government Publications,
and the associated OMB Bulletin 88-10, Report on Government Information
Dissemination Products and Services, and as implemented by DOE Order 1340.1A,
Management of Public Communications Publications, and Scientific, Technical,
and Engineering Publications, each proposed DOE-funded publication to be
distributed to a non-Federal government audience must be submitted in final
draft format to the DOE Office of Public Affairs for a primary review prior to
printing. The reviews cover all organizational elements, including Field
Elements. These reviews are continual throughout the year. On an annual
basis DOE Elements are required to report on all DOE-funded periodicals by
title and costs, including separate cost totals for non-recurring DOE-funded
publications. New periodicals must be justified in writing. Also, mailing
lists are purged annually to minimize printing and distribution costs. DOE
Elements must also report annually costs and other information regarding data
the Department disseminates electronically to the public. To accomplish
review requirements, the Office of Public Affairs issues an annual call for
relevant data based upon the OMB call. DOE program offices, operations
offices, power administrations, and technology centers canvass their
contractors for the information required.

**PRIMARY FINDINGS:** In January 1989 the Office of Management and Budget (OMB) published in the Federal Register Notice for comments proposing changes to OMB Circular No. A-3. Due to this proposed change the OMB call for submissions for the annual report was delayed. On August 18, 1989 OMB Bulletin No. 89-15 was issued requiring data to be submitted within 60 days. The Department of Energy data is being collected; however, it will not be available for this report.

**PRIMARY RECOMMENDATIONS:** To be determined. Recommendations will be stated in the FY 1990 report.

**INITIATIVES AND ACTIONS:** To more effectively manage this program, automated data equipment has been acquired by the Office of Public Affairs. A database software program is being developed and is scheduled to be in place by June 1990.

**ORGANIZATION CONTACT NAME:** F. Chester Gray

**LOCATION AND TELEPHONE NUMBER:** DOE Headquarters, Office of Public Affairs, 586-4670.

IRM REVIEW SYNOPSIS (FY 1989 REVIEW)

**REVIEW TITLE:**  Review of the Procurement and Assistance Data System (PADS)

**DOE REVIEW NUMBER:**  89-17

**REVIEW TYPE:**   1      **REVIEW CATEGORY(IES):**  3, 6, 9, 11 (QA)

**STATUS OR RESULT:**     _x_Review completed.      ___Review in process.
___Review postponed/rescheduled.
___Review canceled.
___Other.

**OBJECTIVES OF REVIEW:**  The principal objective of this review was to examine the operating efficiency of PADS from the point of view of its users and its maintenance team.  To be examined, through interviews of Headquarters DOE and contractor support staff, were system architecture, ease of use, ease of maintenance, system shortcomings and inefficiencies, query and report procedures, and other pertinent aspects.  Secondary objectives were to identify needed data requirements that were not being satisfied, and to consider the benefits of rewriting PADS into a modern machine language, taking advantage of current programming tools and resources.

**REVIEW SYNOPSIS:**  A review team was organized by the Office of Computer Systems and Telecommunications Management (CSTM) (MA-25), under the sponsorship of the Director of Review and Analysis (MA-43), Procurement and Assistance Management (MA-4).  CSTM used its support contractor, IBM, to obtain additional expertise for the review team and to apply a methodology ("Applications Transfer Study (ATS)") to conduct this review.  The team interviewed Headquarters users and the development/maintenance staffs of ABSS and CDSI, contractors to MA-43.  The team identified several problems associated with the operations of PADS.  Problems were put into eight major categories, such as data base structure, system maintenance, user interface, data quality, etc.  The team then developed recommendations to address the problems, and a proposed schedule prepared to accomplish the recommended actions.

Interviews were conducted in January 1989.  A report was prepared in February, and a briefing given to the Director, MA-43.  CSTM management also attended. Additional comments were incorporated and a final written report was delivered in March 1989.

**PRIMARY FINDINGS:**

1. PADS is difficult to maintain, modify, enhance, test, etc.
2. PADS does not adequately support (i.e., portray) certain procurement processes.
3. The system is inflexible.
4. Difficulties exist in extracting and using PADS data.
5. Some users do not use data for management and analysis.
6. Substantial processing time is required for system operations.

**PRIMARY RECOMMENDATIONS:**

1. MA-4 should develop a functional requirements document specifying data elements, data processing procedures, reports, edits, and all system features and performance considerations for the system being designed as a relational data base. The document should be circulated to field activities to indicate MA-4's intent and to enlist the field's support for this effort.
2. Develop and implement a system which accurately portrays contract actions.
3. Implement a relational data base which has been designed to minimize, as much as practicable, maintenance efforts and processing time.
4. Obtain programming tools which provide for ease of modification and maintenance, and which are compatible with the system to be designed.
5. Take full advantage of the system's software to establish an easy to use and learn interface for:
   - -System Queries
   - -Report Generation
   - -On-Line Help
   - -Creation of Error Files/Logs
   - -Data Entry
   - -Editing of Data
   - -Updating System Data
   - -Comparing Data Between Systems
6. Review and redetermine data access and data security procedures in order to reduce the burden associated with current Natural Language Change processing.
7. Add additional data base elements to PADS.
8. Covert the PADS History Database to the same relational structure as PADS.
9. Assign a data base administrator to PADS.

**INITIATIVES AND ACTIONS:** CSTM has agreed to conduct a requirements study to address the redesign of PADS. This study will make use of their Comprehensive Development Methodology for mainframe computer systems. The first product of the study will be a management plan to address such issues as user participation, scope, timing, and other logistical matters. The study will commence early in FY 1990.

**ORGANIZATION CONTACT NAME:** David J. Hoexter

**LOCATION AND TELEPHONE NUMBER:** DOE Headquarters, Procurement Management Systems and Analysis Division, Office of Review and Analysis, Procurement and Assistance Management, 586-9062 (FTS 896-9062).

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<u>IRM REVIEW SYNOPSIS (FY 1989 REVIEW)</u>

**REVIEW TITLE:**  EIA's Forrestal Computer Facility Fiscal Year Long Range Site Plan

**DOE REVIEW NUMBER:**  89-18 (DELETED)

**REVIEW TYPE:**  N/A     **REVIEW CATEGORY(IES):**  N/A

**STATUS OR RESULT:**      ___Review completed.     ___Review in process.
                          ___Review postponed/rescheduled.
                          ___Review canceled.
                          _x_Other (REVIEW DELETED FROM PLAN; INCLUDED IN REVIEW
                                    89-09.)

**OBJECTIVES OF REVIEW:**  N/A

**REVIEW SYNOPSIS:**  N/A

**PRIMARY FINDINGS:**  N/A

**PRIMARY RECOMMENDATIONS:**  N/A

**INITIATIVES AND ACTIONS:**  N/A

**ORGANIZATION CONTACT NAME:**  John H. Yienger

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Energy Information
Administration, ADP Services Staff, 586-1977.
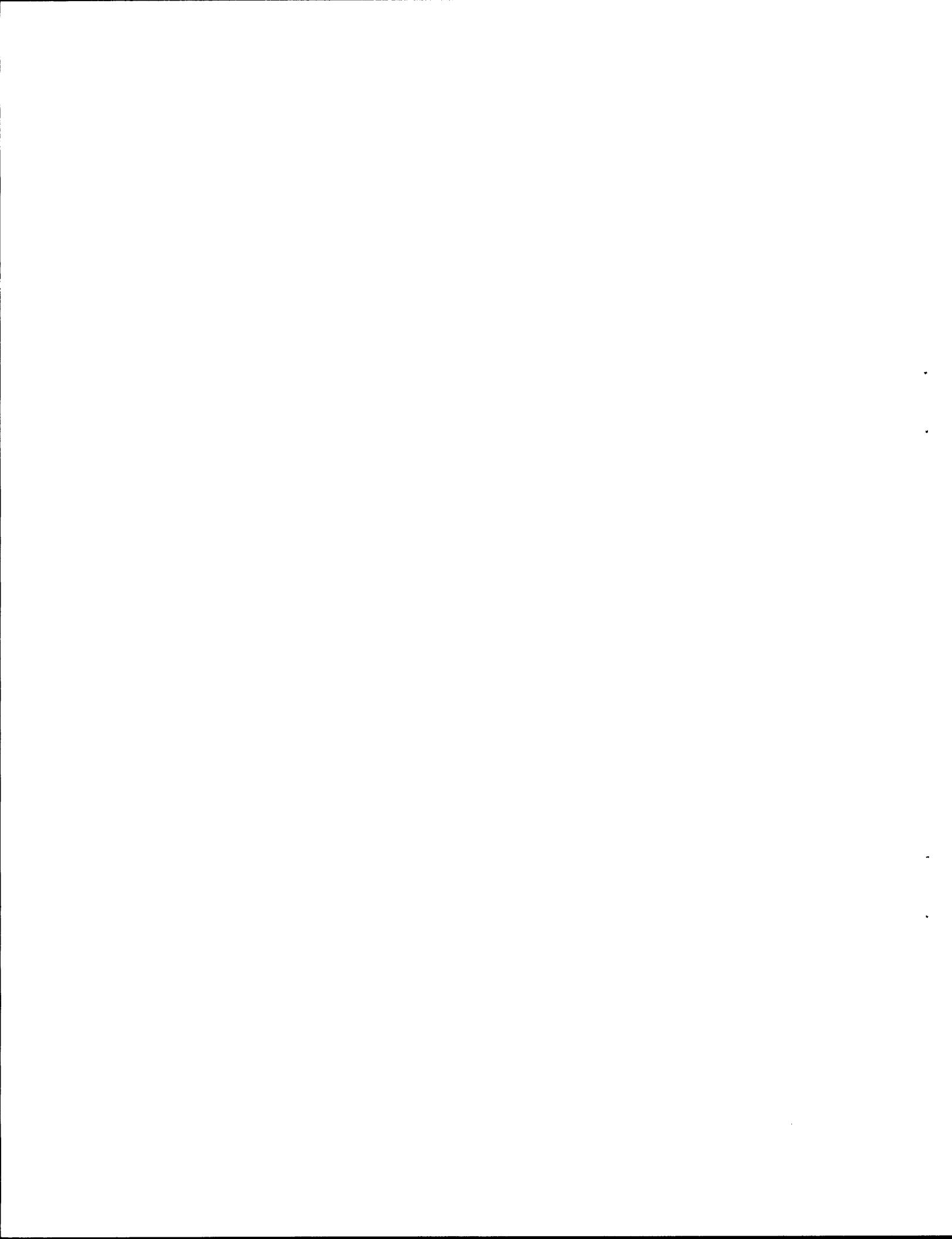
## IRM REVIEW SYNOPSIS (FY 1989 REVIEW)

REVIEW TITLE:  Energy Information Administration (EIA) Planning and Budget
Reviews

DOE REVIEW NUMBER:  89-19

REVIEW TYPE:  1     REVIEW CATEGORY(IES):  11 (Planning & Budget)

STATUS OR RESULT:  _x_  Review completed     ___ Review in process
                   ___  Review postponed/rescheduled
                   ___  Review cancelled
                   ___  Other

OBJECTIVES OF REVIEW:  Review is centrally managed planning process that
covers all personnel and dollar resources required to produce the products of
EIA.  Review is concerned with the effective allocation and subsequent
utilization of EIA resources and the products those resources will produce.
The review occurs on an annual cycle in three stages:  (1)  The Annual
Operating Plan (AOP) review examines manpower and program plans and
expenditures for the upcoming fiscal year, and results in a predetermined,
defined list of programs approved by the Administrator at the beginning of
each year; (2)  The Multiyear Operating Plan (MOP) takes a 3-year look at
resources and programs, combining separate planning and budgeting activities
into a single review process to save time and resources.  The budget for the
next year is based on decisions made during this process; and (3)  The budget
formulation and reviews, prepared for the Department, the Office of Management
and Budget, and Congress, examine funding profiles and proposed programs at
EIA based on priorities established in the planning process described above.
These planning exercises provide policy and program direction to EIA managers,
coordinate programs crossing organizational units, and balance resources
against requirements among programs and over time.

REVIEW SYNOPSIS:  (1)  The FY 1989 AOP review was conducted from September 29,
1988, when guidance was issued, until November 15, 1988, when the
Administrator's decisions were issued.  During this period, each EIA program
office reviewed its plans and resource requirements for FY 1989 and presented
proposals to the Administrator.  The focus of the review was on analysis and
quality projects, major improvements, and issues.  (2)  The FY 1989 - FY 1991
MOP review was conducted between March 9, 1989 and May 25, 1989.  The review
focused on a mid-year review of the FY 1989 AOP and the formulation of the FY
1991 program, for which program offices were required to distribute resources
to individual programs and propose increments and decrements to their base.
(3)  The FY 1991 Internal Review Budget (IRB) was prepared directly from the
results of the MOP.

PRIMARY FINDINGS AND RECOMMENDATIONS:  (1)  For the AOP, program office proposals were accepted, and authorizations were given to start work; program guidance was given to each office.  Specific Quality Maintenance Investment projects were approved for FY 1989.  (2)  For the mid-year 1989 review during the MOP, in general, programs and funding were on schedule.  Forty-five additional projects were proposed, of which 11 were approved for immediate funding and 6 were priorities for possible later funding.  For FY 1991, a prioritized list of projects was approved, including 26 increments and 87 decrements adding up and subtracting down, respectively, from the estimated budget level.  The priority rankings of 15 of these proposals were changed, and 9 proposals were removed entirely.  Special issues examined included funding for studies of envioronmental issues and funding of the EIA computer facility.  (3)  The IRB budget submission reflected the findings and recommendations of the MOP.  The OMB budget submission made no changes to the IRB budget.

INITIATIVES AND ACTIONS:  The EIA planning and review process is designed to develop, review, obtain authorization, and initiate each of individual programs and projects.  Initiatives and actions are described in detail in EIA's AOP, MOP, and budget submissions.

ORGANIZATION CONTACT NAME:  Bruce D. Dwyer

LOCATION AND TELEPHONE NUMBER:  DOE Headquarters, Energy Information Administration, Division of Planning and Financial Management, 586-6585.

## IRM REVIEW SYNOPSIS (FY 1989 Review)

**REVIEW TITLE:** DOE Information Collection Reviews

**DOE REVIEW NUMBER:** 89-20

**REVIEW TYPE:** 1          **REVIEW CATEGORY(IES):** 11 (Information Collections)

**STATUS OR RESULT:**    _x_ Review completed.    ___ Review in process.
                        ___ Review postponed/rescheduled (explain in synopsis).
                        ___ Review cancelled (explain in synopsis).
                        ___ Other  (explain in synopsis).

**OBJECTIVES OF REVIEW:**  Reviews were conducted of the 30 management and procurement information collection packages and the more than 1,000 information collections therein in order to eliminate, where possible, individual information collections imposed on contractors, grantees and other elements of the public; and to modify the remaining information collections so that they impose the minimum possible burden on the public.

**REVIEW SYNOPSIS:**  Using the results of the FY 1989 information collection reviews, the various DOE program and functional managers ("package managers") having cognizance over one or more management and procurement information collections updated the paperwork burden information for their respective collections and reported the results of their updates to the Office of Organization and Management Systems for inclusion in the DOE Information Collection Budget (ICB).  The reviews included a critical evaluation of the necessity for collecting the information and applied the practical utility criterion in 5 CFR 1320 as the basis for their continuation.  A reassessment was made of the remaining collections to determine whether modifications could be made so as to reduce their paperwork burden impact.

**PRIMARY FINDINGS:**  In FY 1989 the Department achieved a net reduction of 14.85 percent in the paperwork burden imposed on the public, or a reduction of 1,354,201 burden hours, through the elimination of 53 collections of information.  Major reductions were achieved in the areas of Program Management, Power Marketing Administrations, Financial Management and Safeguards and Security.  In addition, a consolidation was made of the nine procurement-related packages into one package (OMB Control No. 1910-4100) for the purpose of improving the package management and review process.

**PRIMARY RECOMMENDATIONS:**  The information collection reviews should be continued in FY 1990 in order to meet the burden reduction target mandated in the Paperwork Reduction Reauthorization Act of 1986 and to assure that program and functional area managers continue to manage their information collections to achieve further burden reductions where feasible.

**INITIATIVES AND ACTIONS:**  A review of the entire inventory of information collections will be initiated in FY 1990 to gain further reductions, where possible.

**ORGANIZATION CONTACT NAME:**  Jeff Martus

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Information Management Branch, 586-6359.

## IRM REVIEW SYNOPSIS (FY 1989 Review)

**REVIEW TITLE:** Comprehensive Review and Reduction of DOE Regulatory and Paperwork Burdens

**DOE REVIEW NUMBER:** 89-21

**REVIEW TYPE:**  1          **REVIEW CATEGORY(IES):**  11 (Regulations Burden Mgt.)

**STATUS OR RESULT:**       _x_ Review completed.      ___ Review in process.
                           ___ Review postponed/rescheduled (explain in synopsis).
                           ___ Review cancelled (explain in synopsis).
                           ___ Other  (explain in synopsis).

**OBJECTIVES OF REVIEW:**  To conduct a broad and in-depth review of all paperwork burdens the Department imposes on the public, including paperwork requirements embedded in Departmental regulations and related statutes.  The objectives of this review are to ensure that obsolete regulations are revoked  and that the remaining regulations are consistent, to the extent permitted by law, with the regulatory principles stated in Section 2 of Executive Order No. 12291.

**REVIEW SYNOPSIS:**  The Department of Energy's regulations are generally found in the Code of Federal Regulations (CFR) Titles 10 and 48, which collectively contain 175 parts, each of which contains one or more regulations.  Additional regulations are found in parts of various other CFR titles.  The major thrust of this program was a comprehensive review by the DOE proponent offices of regulations and statutes that affect their areas of responsibilities.  Program managers in the various DOE organizations that have  cognizance over DOE regulations reviewed their respective regulations, with assistance, as warranted, from the Office of the General Counsel (OGC).

**PRIMARY FINDINGS:**  As a result of this comprehensive review the Department plans to remove or modify a number of its existing regulations in FY 1989 and FY 1990, thus helping to remove this source of paperwork from the public.  The remaining regulations were verified by the cognizant program managers as imposing the least possible regulatory burden and are consistent with the regulatory principles stated in Section 2 of Executive Order 12291.

**PRIMARY RECOMMENDATIONS:**  Program managers, in conjunction with the Office of the General Counsel, should review all proposed regulations and ensure that the regulations are consistent with appropriate regulatory principles.

**INITIATIVES AND ACTIONS:**  Appropriate program offices have initiated proceedings for those regulations identified in the review as requiring modification and/or revocation.

**ORGANIZATION CONTACT NAME:**  Jeff Martus

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Information Management Branch, 586-6359.

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IRM REVIEW SYNOPSIS (FY 1989 REVIEW)


**REVIEW TITLE:** Audits of DOE ADP Activities

**DOE REVIEW NUMBER:** 89-22

**REVIEW TYPE:** 1    **REVIEW CATEGORY(IES):** 1, 3, 4, 6, 8, 9

**STATUS OR RESULT:**    _x_ Review completed.    ___ Review in process.
                        ___ Review postponed/rescheduled.
                        ___ Review canceled.
                        ___ Other.

**OBJECTIVES OF REVIEW:** Reviews are conducted at selected DOE sites and
include, but are not limited to, review of ADP workload; computer networking
and telecommunications services; equipment acquisition; cost-recovery;
security and internal controls. Reviews are to determine whether ADP and
related activities are conducted and managed in a cost-effective and efficient
manner.

**REVIEW SYNOPSIS:** Personnel from the Office of Inspector General have
completed the following reviews:

1.  Los Alamos National Labs ADP service charges: Review focused on the
    charging algorithms for CPU, disk, tape, and other related equipment
    usages; costing algorithms for personnel support, such as programming and
    system design and maintenance.

2.  Applications integrity: Application software controls, data integrity,
    and system maintenance and development costs of the Procurement and
    Assistance Data System (PADS).

3.  Data communications for Energy Research: Cost-effective networking of
    telecommunications circuits, requirements analysis, lease services
    utilizations, and duplication services for the Energy Research Program.

The review on telecommunications circuit management will be completed in FY
1990.

The review on system integrity scheduled in FY 1989 was canceled.

**PRIMARY FINDINGS:**

1. <u>Los Alamos National Labs ADP service charges</u>:  Lack of thorough internal reviews in accounting of ADP costs caused $1.9 million net underrecovery of ADP costs.  Utility costs and depreciation were excluded from the cost base and some charges to users exceeded the cost of providing services to those users.

2. <u>Data communications for Energy Research</u>:  The justification for a new Energy Research telecommunications network (ESNET) was not supported by a needs assessment, comparative costs analyses, appropriate approvals and adequate budget requests.

3. <u>Applications integrity of PADS</u>:  Review did not indicate any primary findings.

**PRIMARY RECOMMENDATIONS:**

1. <u>Los Alamos National Labs ADP service charges</u>:

   a. Strengthen internal controls of Albuquerque Operations Office.  The reviews should consider the propriety of costs in the Laboratory ADP cost base and the cost recoveries from users;

   b. Return the overcharges of $2.48 million to the U.S. Treasury General Fund as miscellaneous receipts;

   c. Instruct the Lab to implement Federal policy, including Departmental orders, concerning the collection and accounting of ADP costs from the users and their appropriate share of the costs.

2. <u>Data communications for Energy Research</u>:

   a. Suspend implementation of ESNET pending needs assessment, preparation of comparative cost analyses, coordination of the networking activities with the DOE Office of Telecommunications, and identification and support for network funding requirements in the DOE budget;

   b. Require that the network development and implementation costs be segregated from its routine operating costs;

   c. Require any efforts of upgrading be coordinated with the DOE Office of Telecommunications to ensure that cost savings opportunities, such as circuit sharing with other DOE networks, are fully considered.

89-22-1

**INITIATIVES AND ACTIONS:**  Los Alamos National Labs ADP service charges:

1. Management agreed to take actions on the first and third recommendations. The second recommendation is in the process of being resolved.

2. Data communications for Energy Research:  Management agreed to take actions on all three recommendations.

**ORGANIZATION CONTACT NAME:**  Ben Hsiao

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Program Development and Technical Support Division, Office of Inspector General, 586-1947.
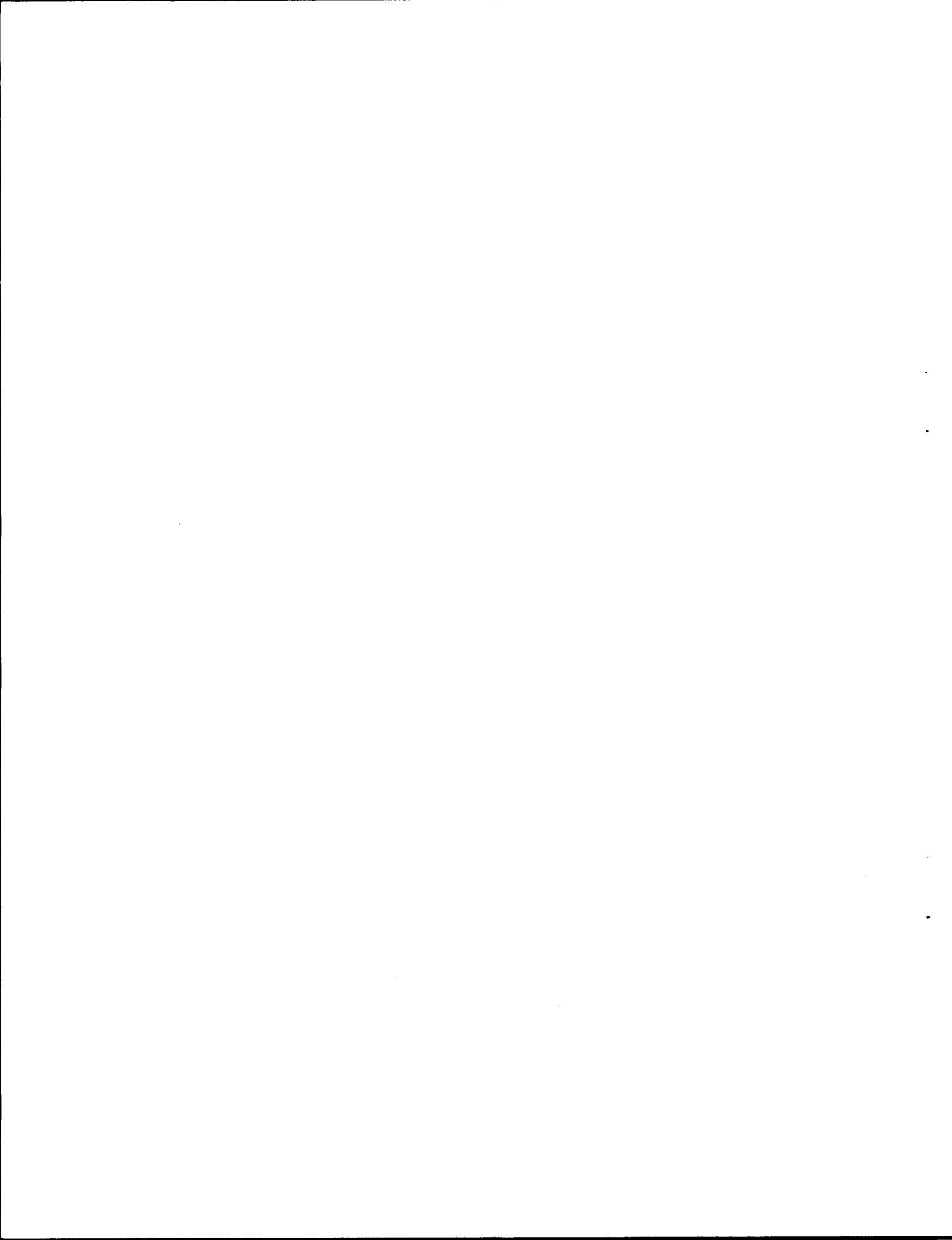
IRM REVIEW SYNOPSIS (FY 1989 REVIEW)

**REVIEW TITLE:**  Chicago's Vulnerability Assessment - ADP

**DOE REVIEW NUMBER:**  89-23

**REVIEW TYPE:**  3     **REVIEW CATEGORY(IES):**  8

**STATUS OR RESULT:**     _x_Review completed.     ___Review in process.
___Review postponed/rescheduled.
___Review canceled.
___Other.

**OBJECTIVES OF REVIEW:**  The vulnerability assessment provides a mechanism through which determination can be made regarding the ADP function's susceptibility to waste, loss, mismanagement, unauthorized use, or misappropriation.  The vulnerability assessment is designed to assist management in identifying and prioritizing needed improvements or areas where follow-on actions are required.

**REVIEW SYNOPSIS:**  The vulnerability assessment was performed by a team from the Information Management Branch in July and August 1989.  The assessment was conducted generally in accordance with DOE 1000.3B, Internal Control Systems, of 7-5-88.  The primary activities of the IS/AOSS and ADPE groups of the Branch were identified and assessed and the major risks were identified for each activity.  Also reviewed were the questionnaires from the FY84 vulnerability assessment and the CH 1100.B, CH Mission Statements, dated 4-12-89, to determine that there were no mission function changes.  The review thus verified that there were no changes from the FY86 vulnerability assessment.

The Assessment of Compliance with GAO Standards for Internal Control was performed with a result of positive compliance for each standard.  The control environment factors were analyzed and found to be adequate.  The ADP factors were reviewed and resulted in a no impact determination.  After consideration of each of these analyses, as well as the FY89 audit and management reports, the offsetting controls were identified for each risk.

**PRIMARY FINDINGS:**  The vulnerability assessment resulted in a rating of low vulnerability.  The overall assessment of low was based on the evaluation of the major risks and offsetting controls associated with the ADP activities which indicate that the controls are effective and mitigate the major risks.  The functional environment has experienced no significant changes since the last two vulnerability assessments (which also resulted in low ratings).

**PRIMARY RECOMMENDATIONS:**  Not applicable.

**INITIATIVES AND ACTIONS:**  Not applicable.

**ORGANIZATION CONTACT NAME:**  Joseph P. Gea

**LOCATION AND TELEPHONE NUMBER:**  Information Management Branch, Operations Management Support Division, Chicago Operations Office, FTS 972-2203.

IRM REVIEW SYNOPSIS (FY 1989 REVIEW)

**REVIEW TITLE:**  San Francisco's (SAN) Information Technology Resource (ITR) Management

**DOE REVIEW NUMBER:**  89-24

**REVIEW TYPE:**  1     **REVIEW CATEGORY(IES):**  1, 2, 4, 8

**STATUS OR RESULT:**   ___Review completed.   _x_Review in process.
___Review postponed/rescheduled.
___Review canceled.
___Other.

**OBJECTIVES OF REVIEW:**  This review was intended to determine the paths this office should take with regards to the office automation process and the internal and external interface requirements for SAN users so that they can communicate with other DOE offices.

**REVIEW SYNOPSIS:**  SAN's Office Automation Statement of Strategy was started in early August 1989 and is currently under way.  A survey form was developed by the Management Information Systems and Telecommunications Division (MIST) and sent to all personnel in SAN, including contractors.  The purpose was to determine current computer hardware needs and possible future software requirements.  Under this review all aspects of Office Automation will be reviewed as well as other computer needs.  The results of this survey will be shared with management and the computer user community and will be used to determine future computer directions.  The survey and review is expected to have considerable impact on all aspects of data processing, from the personal computer user to the minicomputer user at SAN and SAN contractor sites.

The review will be completed by the second quarter of FY 1990.

**PRIMARY FINDINGS:**  To be determined.

**PRIMARY RECOMMENDATIONS:**  To be determined.

**INITIATIVES AND ACTIONS:**  To be determined.

**ORGANIZATION CONTACT NAME:**  Donald L. Roberts

**LOCATION AND TELEPHONE NUMBER:**  San Francisco Operations Office, Management Information Systems and Telecommunications Division, FTS 536-4309.

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IRM REVIEW SYNOPSIS (FY 1989 REVIEW)

**REVIEW TITLE:**  Western's FY 1989 ADP Data Center Site Reviews

**DOE REVIEW NUMBER:**  89-25

**REVIEW TYPE:**   2      **REVIEW CATEGORY(IES):**  2, 3, 4, 8, 9

**STATUS OR RESULT:**      ___Review completed.    _x_Review in process.
                          ___Review postponed/rescheduled.
                          ___Review canceled.
                          ___Other.

**OBJECTIVES OF REVIEW:**  To verify ongoing compliance with Western Area Power
Administration's (Western) current policies and procedures, as well as good
ADP management practices, the IRM review team will visit each of Western's ADP
data centers to assess their computer operations, facilities management, data
security, configuration management, and software/hardware configuration.

**REVIEW SYNOPSIS:**  Reviews were delayed to coincide with the ADP Management
Review and Vulnerability Assessment being conducted by the contractor, Coopers
and Lybrand, for Western's Analysis and Compliance Branch.  Reviews were
combined to reduce the work disruption, travel costs and time required.  The
schedule for completing the reviews is as follows:

| | |
|---|---|
| Complete on-site reviews | August 25, 1989 |
| Draft review findings | September 8, 1989 |
| Brief ADP managers | September 15, 1989 |
| Final review report | September 30, 1989 |
| Submit review synopsis | October 16, 1989 |

**PRIMARY FINDINGS:**  To be determined.

**PRIMARY RECOMMENDATIONS:**  To be determined.

**INITIATIVES AND ACTIONS:**  To be determined.

**ORGANIZATION CONTACT NAME:**  Roland W. Sohnholz

**LOCATION AND TELEPHONE NUMBER:**  Western Area Power Administration, FTS
327-7407.

IRM REVIEW SYNOPSIS (FY 1989 REVIEW)

**REVIEW TITLE:**  Western's Management Information System Reviews

**DOE REVIEW NUMBER:**  89-26 (CANCELED)

**REVIEW TYPE:**  N/A    **REVIEW CATEGORY(IES):**  N/A

**STATUS OR RESULT:**    ___Review completed.    ___Review in process.
                        ___Review postponed/rescheduled.
                        _x_Review canceled.
                        ___Other.

**OBJECTIVES OF REVIEW:**  To determine if automated operational application systems are meeting intended objectives and requirements.

**REVIEW SYNOPSIS:**  Review canceled due to restrictions on travel funds and remote geographical locations of users in computer sites.  Reviews of the locally developed power billing systems will be included in the FY 1990 Information Systems review.

**PRIMARY FINDINGS:**  Not applicable.

**PRIMARY RECOMMENDATIONS:**  Not applicable.

**INITIATIVES AND ACTIONS:**  Not applicable.

**ORGANIZATION CONTACT NAME:**  Roland W. Sohnholz

**LOCATION AND TELEPHONE NUMBER:**  Western Area Power Administration, FTS 327-7407.

Department of Energy
Information Resources Management Review Plan
FY 1989 - FY 1991 Cycle

IRM REVIEW SYNOPSIS (FY 1989 REVIEW)

**REVIEW TITLE:** (THIS REVIEW DELETED)

**DOE REVIEW NUMBER:** 89-27

**REVIEW TYPE:**         **REVIEW CATEGORY(IES):**

**STATUS OR RESULT:**     ___Review completed.    ___Review in process.
                         ___Review postponed/rescheduled.
                         ___Review canceled.
                         _x_Other.

                         THIS REVIEW DUPLICATED 89-24 AND WAS THEREFORE
                         WITHDRAWN FROM THE PLAN.

**OBJECTIVES OF REVIEW:** N/A

**REVIEW SYNOPSIS:** N/A

**PRIMARY FINDINGS:** N/A

**PRIMARY RECOMMENDATIONS:** N/A

**INITIATIVES AND ACTIONS:** N/A

**ORGANIZATION CONTACT NAME:** N/A

**LOCATION AND TELEPHONE NUMBER:** N/A
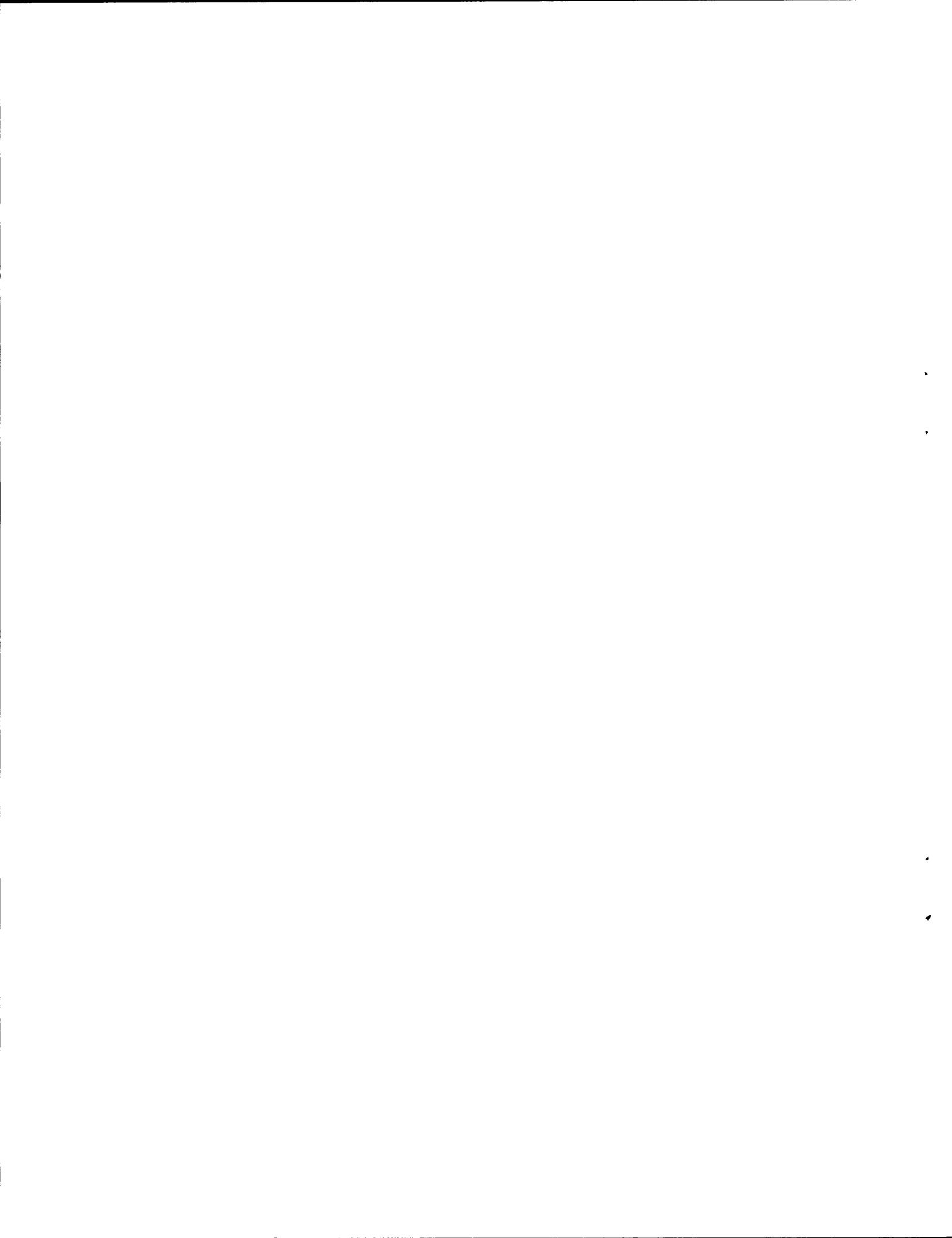
## IRM REVIEW SYNOPSIS (FY 1990 REVIEW)

**REVIEW TITLE:** Energy Information Administration (EIA) Data Collection Reviews

**DOE REVIEW NUMBER:** 90-01

**REVIEW TYPE:** 1  **REVIEW CATEGORY(IES):** 11 (Information Collections)

**STATUS:** _x_ No change, on schedule.  ___ Review postponed/rescheduled.
___ Review canceled.
___ New, previously unreported review.
___ Other.

**SCOPE OF REVIEW:** Reviews cover groups of subject-related energy information and statistical collections. Reviews are concerned with the statutory and other needs for the collections, statistical methodology, uses, user need studies and presurvey consultations, and assurances that the collections place the minimum burden on the public, have practical utility, and do not duplicate other existing collections.

**BRIEF DESCRIPTION:** During FY 1990, EIA will use the program approach on three program packages: the Petroleum Marketing Program (PM), the Natural Gas Surveys (NG), and the Nuclear and Uranium Data Program (NP). _Federal Register_ notices will be published soliciting comments on proposed changes to the surveys, internal reviews will be conducted, and meetings will be held, as necessary, to resolve issues arising from the reviews. Individual reviews will also be conducted on the Financial Reporting System (FRS), the Residential Energy Consumption Survey (RECS), and the Residential Transportation Energy Consumption Survey (RTECS).

**REVIEW MILESTONES AND SCHEDULES:**

|   |   | PM | NG | NP |
|---|---|----|----|----|
| 1. | Public program review | 9-89 | 1-90 | 6-90 |
| 2. | Review results complete | 3-90 | 6-90 | 1-91 |
| 3. | OMB review and approval | 6-90 | 9-90 | 3-91 |
| 4. | Implement changes | 9-90 | 12-90 | 6-91 |

|   |   | FRS | RECS | RTECS |
|---|---|-----|------|-------|
| 1. | Public program review | 1-90 | 6-89 | 10-89 |
| 2. | Review results complete | 6-90 | 11-89 | 3-90 |
| 3. | OMB review and approval | 9-90 | 2-90 | 6-90 |
| 4. | Implement changes | 12-90 | 4-90 | 9-90 |

**ORGANIZATION CONTACT NAME:** Herbert Miller

**LOCATION AND TELEPHONE NUMBER:** DOE Headquarters, Energy Information Administration, 586-2171.

## IRM REVIEW SYNOPSIS (FY 1990 REVIEW)

**REVIEW TITLE:**  Evaluation of IRM in the Energy Information Administration

**DOE REVIEW NUMBER:**  90-02 (CANCELED)

**REVIEW TYPE:**  N/A      **REVIEW CATEGORY(IES):**  N/A

**STATUS:** ___No change, on schedule.  ___Review postponed/rescheduled.
          _x_Review canceled.
          ___New, previously unreported review.
          ___Other

**SCOPE OF REVIEW:**  N/A

**BRIEF DESCRIPTION:**  The review objectives are met by completion of Review 89-02, thus eliminating the need for another review in FY 1990.

**REVIEW MILESTONES AND SCHEDULES:**  N/A

**ORGANIZATION CONTACT NAME:**  Richard H. Moore

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Energy Information Administration, Information and Administrative Services Division, 586-6485.
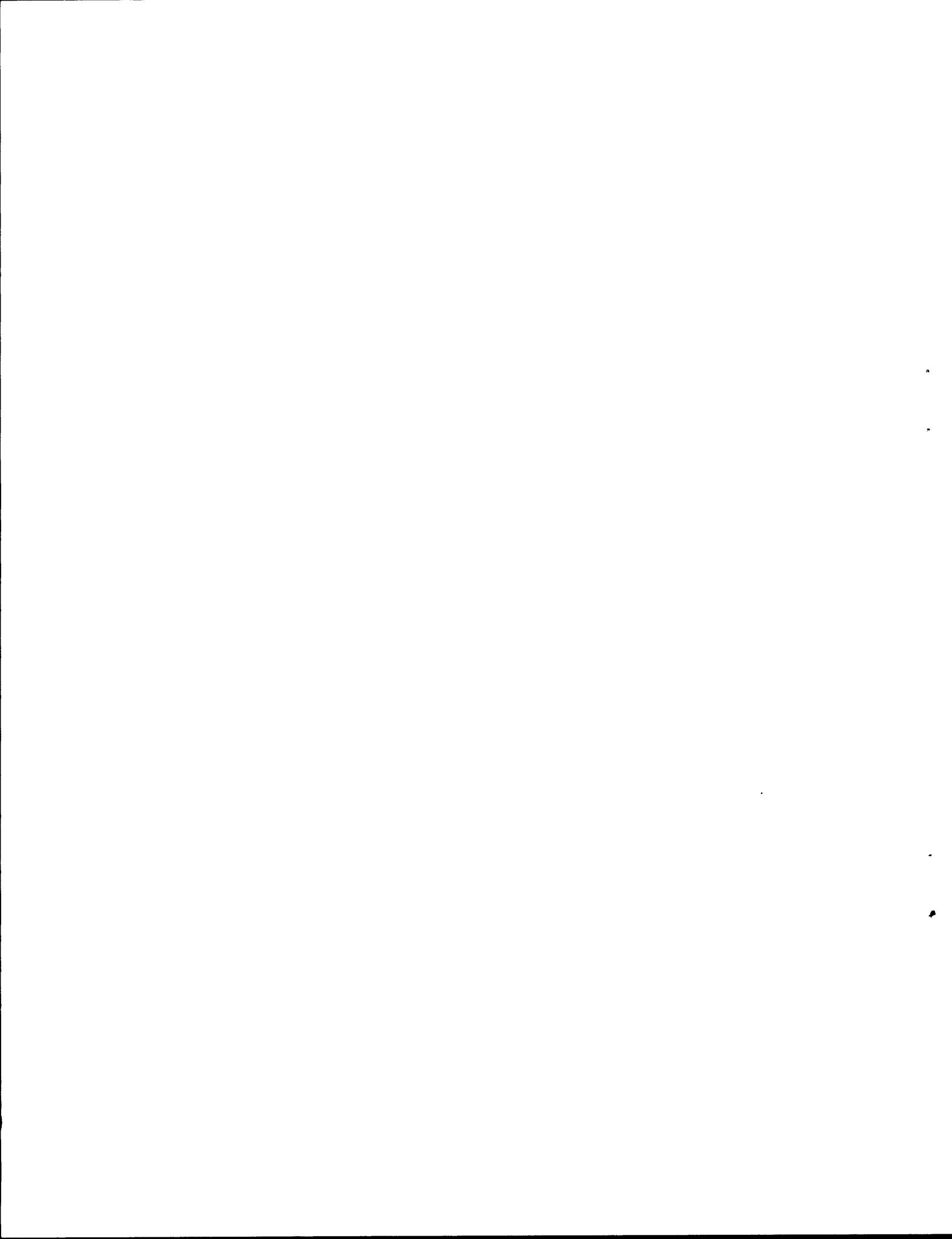
<u>IRM REVIEW SYNOPSIS (FY 1990 REVIEW)</u>

**REVIEW TITLE:**  Records Management Program Review

**DOE REVIEW NUMBER:**  90-03

**REVIEW TYPE:**  1      **REVIEW CATEGORY(IES):**  4, 10, 11 (QA)

**STATUS:** _x_No change, on schedule.  ___Review postponed/rescheduled.
___Review canceled.
___New, previously unreported review.
___Other.

**SCOPE OF REVIEW:**  The scope of the review in this cycle is established by the National Archives and Records Administration evaluation report, which is all encompassing.  No parts of the program remain outside its coverage.

**BRIEF DESCRIPTION:**  The evaluation has caused a total review of all of the record programs of all Departmental organizations, to include its managing and operating contractors.  Each of its citations were to be used as self evaluations by all organizations.  Based on its 40 major recommendations, in the areas of program management, records creation and maintenance, records disposition, records storage facilities, and retained records, it is projected that resolution of all items at all Departmental sites will take several years.  A copy the Evaluation Summary of Recommendations is found in attachment 1 to this review.  A copy to the Evaluation Review and Follow-up is also found in attachment 1.

**REVIEW MILESTONES AND SCHEDULES:**  The National Archives and Records Administration requires a report every six months until all recommendations are satisfactorily resolved.  The Department will comply with that schedule.  Negotiations between NARA and DOE will assure the action plan of the Department is acceptable to the National Archives.  In the meantime, many of the recommendations are being addressed and some have been resolved.  The National Archives is assisting the Department in several of the areas, consistent with the agreement worked out at the start of the evaluation.

**ORGANIZATION CONTACT NAME:**  Edward Nugent

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Information Management Branch, Office of Organization and Management Systems, 586-3288

ATTACHMENT 1, DOE REVIEW 90-03

SUMMARY OF RECOMMENDATIONS

A.  Section 1, Overall Program Management:

1-1.  Review DOE 1324.5 and associated functional statements and delegations of authority to determine if the assignment of records management responsibilities provides an adequate framework for the development and implementation of an active, effective records management@ program.

1-2.  Enlarge the Information Management Branch to provide sufficient personnel to develop and maintain a records management program that meets the needs of DOE, and complies with all statutory requirements, and to permit early involvement in the development of information systems and of program initiatives with records management implications.

1-3.  Improve communication between the headquarters and field operations in matters relating to records management to promote consistent and efficient policy development and operational implementation.

1-4.  Review DOE Orders 5700.1B and 1430.1A and any other similar orders to ensure consistency with related records management directives.

1-5.  Develop and implement a records management training program for the various groups within the agency, including contractor personnel, who are involved with records, particularly records management staff, program managers, ADP personnel, secretaries, and clerks.

1-6.  Develop and implement a comprehensive records management evaluation program that provides for regular reviews of departmental offices and agency contractors.

B.  Section 2, Records Creation and Maintenance:

2-1.  Require that all departmental elements issue specific recordkeeping requirements for their assigned missions and functions.

2-2.  Revise appropriate records management directives to incorporate the minimum documentation standards outlined in 36 CFR 1222.20.

2-3.  Issue updated guidance explaining that working papers should be handled as agency records whenever they are needed to document agency policies and activities.

2-4.  Undertake a special program to educate DOE scientists about the need to create and maintain records documenting important research and development activities and the requirement to handle them as Federal records, not personal papers.

2-5.  Reexamine the subject classification system to modify it as necessary and make its use mandatory throughout the Department.

2-6.  Combine all files management procedures and instructions into a single DOE Order that addresses all record media and all quality assurance requirements.

2-7.  Direct offices using office automation to specify the manner and medium in which the records will be maintained to meet administrative, legal, and research purposes, and revise DOE Order 1324.6 accordingly.

2-8.  Undertake a records management study of the handling of computer files.  The study should result in an updating of all pertinent DOE Orders, particularly DOE 1330.1A, to incorporate general records management guidance and the relevant portions of NARA's regulations.  The study should also examine ways to improve communications between records management and ADP management officials.

2-9.  Examine microfilming operations to eliminate duplication of effort, particularly at EIA and OSTI, and to ensure that no permanent or unscheduled records are destroyed after microfilming without NARA approval.

2-10. Issue specific guidance on the creation and maintenance of audiovisual records that incorporates the requirements of NARA's regulations published in 36 CFR 1232.

2-11. Implement fully the requirements of DOE 5500.7A by:

a.  Appointing Vital Records Program Officers throughout DOE,

b.  Providing Vital Records Program Officers with necessary training,

c.  Identifying and inventorying all departmental records that fall under the definition of vital records,

d.  Transferring vital records to offsite storage facilities maintained by DOE (for emergency operating records) or the FRC's (for rights and interests records), and

e.  Conducting annual reviews to ensure that records selected for protection as vital records are current, complete, adequately protected, and immediately usable.

C. Section 3, Records Disposition:

3-1. Develop revised disposition schedules that accurately describe the records maintained in all DOE offices and contractor facilities. In developing these schedules priority should be given to electronic records and the records of National Laboratories.

3-2. Implement procedures for involving field personnel in the preparation of revised records schedules. Such a program will require extensive training and regular evaluations by experienced staff.

3-3. Develop and implement a program for periodically reviewing and updating disposition authorities to ensure their accuracy.

3-4. Develop and implement procedures for the accurate and comprehensive preparation and updating of the RIDS by all offices.

3-5. Identify and transfer inactive departmental and contractor records, both in offices and storage areas, that are eligible for storage in the Federal records centers.

D. Section 4, Records Storage Facilities:

4-1. Upgrade all records storage facilities to meet the facility standards in 36 CFR 1228.222.

4-2. Transfer to Federal records centers or the Office of the National Archives all records that have been or are scheduled to be maintained in records staging or holding areas for more than 5 years.

4-3. In those instances where it is not possible to transfer long-term records to Federal records centers, submit a request to NARA to maintain long-term records in records holding or staging areas.

E. Section 5, Retained Records:

5-1. Transfer the following records maintained by the Office of the Executive Secretariat, History Division to NARA in FY 1989:

a. The first segment of the AEC Secretariat Records, dating from 1947 to 1951, and

b. the large collection of 7,000 still photographs dating back to the same period.

5-2.  Schedule the records holdings of the Executive Secretariat, History Division, and work with NARA to develop a plan for transfer of additional holdings to NARA over an agreed on period of time, such as the next 5 years.

5-3.  Institute a policy that CIC collect only copies of Federal records so the original series will remain intact.

5-4.  Schedule the CIC records, including all indexes, for transfer to NARA.

5-5.  Inventory and schedule all collections of records assembled for litigation purposes.  Consider the eventual integration of the records appraised as permanent into the CIC in order to ensure long term preservation and availability.

5-6.  Use A Guide to Archival Collections Relating to Radioactive Fallout from Nuclear Weapons Testing to start inventorying and scheduling other records in DOE custody relating to nuclear weapons testing and fallout.

5-7.  Schedule the silver master microfilm (and a diazo copy) of the unclassified collection of technical reports at OSTI for transfer to NARA at regular intervals.  Make a cutoff and initial transfer in the near future. Separately schedule the security classified part of OSTI's collection and the electronic material that supplements, enhances, and provides access to the entire collection.

5-8.  Schedule the Naval Petroleum Reserves No. 1 records stored on the NPR-1 reservation and in FE-44 office space.

5-9.  Schedule and, as appropriate, designate for transfer to NARA the records of the LANL laboratory director, the photographic collection, and the designated archival collection.

5-10.  Inventory and schedule the remaining older records identified in this section of the report as well as all other collections of unscheduled holdings within departmental and contractor offices and storage space.


## EVALUATION REVIEW AND FOLLOW-UP


AUTHORITY:    44 U.S.C., Chapter 29.

1.  Upon receipt of this draft evaluation report, DOE has a maximum of 60 calendar days to comment on the factual content of the report.

2. After reviewing the agency comments, NARA will make any necessary changes and produce a final evaluation report.

3. DOE will submit to the Archivist of the United States an action plan implementing the recommendations of the evaluation report no later than 90 days after the date of transmittal of the final report to the Secretary of Energy.

4. The action plan will include:

   a.   specific actions DOE plans to take on each recommendation.  If DOE does not plan to implement a specific recommendation, the reason for not acting will be documented in the action plan; and

   b.   the proposed month and year for completing each planned action.

4. DOE will submit a progress report on the implementation of the action plan every 6 months to the Office of Records Administration (NI) until the action plan is implemented.

5. NARA will:

   a.   analyze the adequacy of the DOE action plan;

   b.   provide comments to DOE on the plan within 60 calendar days;

   c.   assist DOE in implementing recommendations; and

   d.   inform DOE when progress reports are no longer needed.

## IRM REVIEW SYNOPSIS (FY 1990 REVIEW)

**REVIEW TITLE:**  Records Management Appraisal Program

**DOE REVIEW NUMBER:**  90-04 (CANCELED)

**REVIEW TYPE:**   1     **REVIEW CATEGORY(IES):**  4, 10

**STATUS:** ___No change, on schedule.  ___Review postponed/rescheduled.
_x_Review canceled.
___New, previously unreported review.
___Other.

**SCOPE OF REVIEW:**  Appraisals fo HQs, Field office, and DOE-contractor office records management programs through site visits.

**BRIEF DESCRIPTION:**  The review is canceled.  The planned appraisal program was not initiated in FY 1989 due to lack of financial and manpower resources.  In an attempt to provide an alternate means of appraising the Field offices reporting directly to the Department, a request for contractor support has been made with the purpose of determining if other viable means exist to carry out this program.  Until the study is complete and properly reviewed, no activity will occur in the area of appraisals.  Should an appraisal program be reinstituted for FY 1990, it will be resubmitted for inclusion in the IRM Review Plan.

**REVIEW MILESTONES AND SCHEDULES:**  Not applicable.

**ORGANIZATION CONTACT NAME:**  Edward Nugent

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Information Management Branch, Office of Organization and Management Systems, 586-3288.
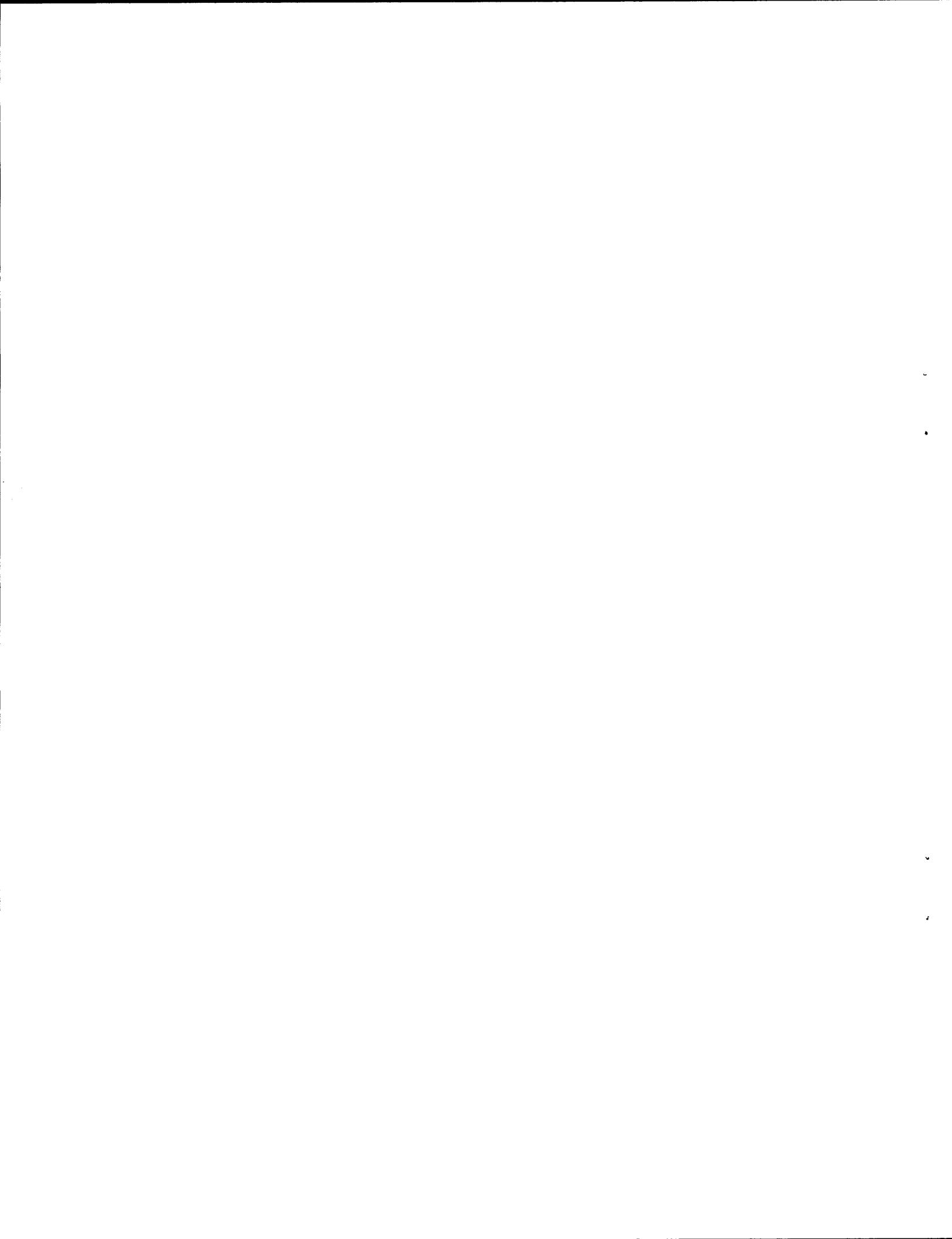
**REVIEW TITLE:**  Automatic Data Processing (ADP) Management Reviews

**DOE REVIEW NUMBER:**  90-05

**REVIEW TYPE:**  1    **REVIEW CATEGORY(IES):**  2,3,4,6,8,9

**STATUS OR RESULT:**  Planned

**SCOPE OF REVIEW:**  Individual reviews are targeted at DOE operations offices and Departmental sites not reporting through an operations office. Operations offices are reviewed on a 2-year cycle and non-operations offices on a 3-year cycle.

**BRIEF DESCRIPTION:**  Personnel from the Office of ADP Management will conduct reviews directed at compliance with DOE Order 1330.1B, "Management of Automated Information Systems and Data Resources," DOE Order 1360.1A, "Acquisition and Management of Computing Resources," DOE Order 1360.2A, "Computer Security Program for Unclassified Computer Systems," internal policy, procedures, guidelines, and local directives relating to computing resources; information system management, long-range planning process; and unclassified computer security (UCS).

**REVIEW MILESTONES AND SCHEDULES:**

| Organization | Fiscal Year 1990 |
|---|---|
| Office of Computer Services and Telecommunications Management | First Quarter |
| Southwestern Power Administration* | Third Quarter |
| Southeastern Power Administration* | Second Quarter |
| San Francisco Operations Office | Second Quarter |
| Office of Scientific and Technical Information | Third Quarter |
| Nevada Operations Office | Second Quarter |
| Idaho Operations Office | Fourth Quarter |
| Richland Operations Office | Fourth Quarter |

*  These reviews will be for UCS only.

**ORGANIZATION CONTACT NAME:**  Mary C. Thomas

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Office of ADP Management, 353-3524.
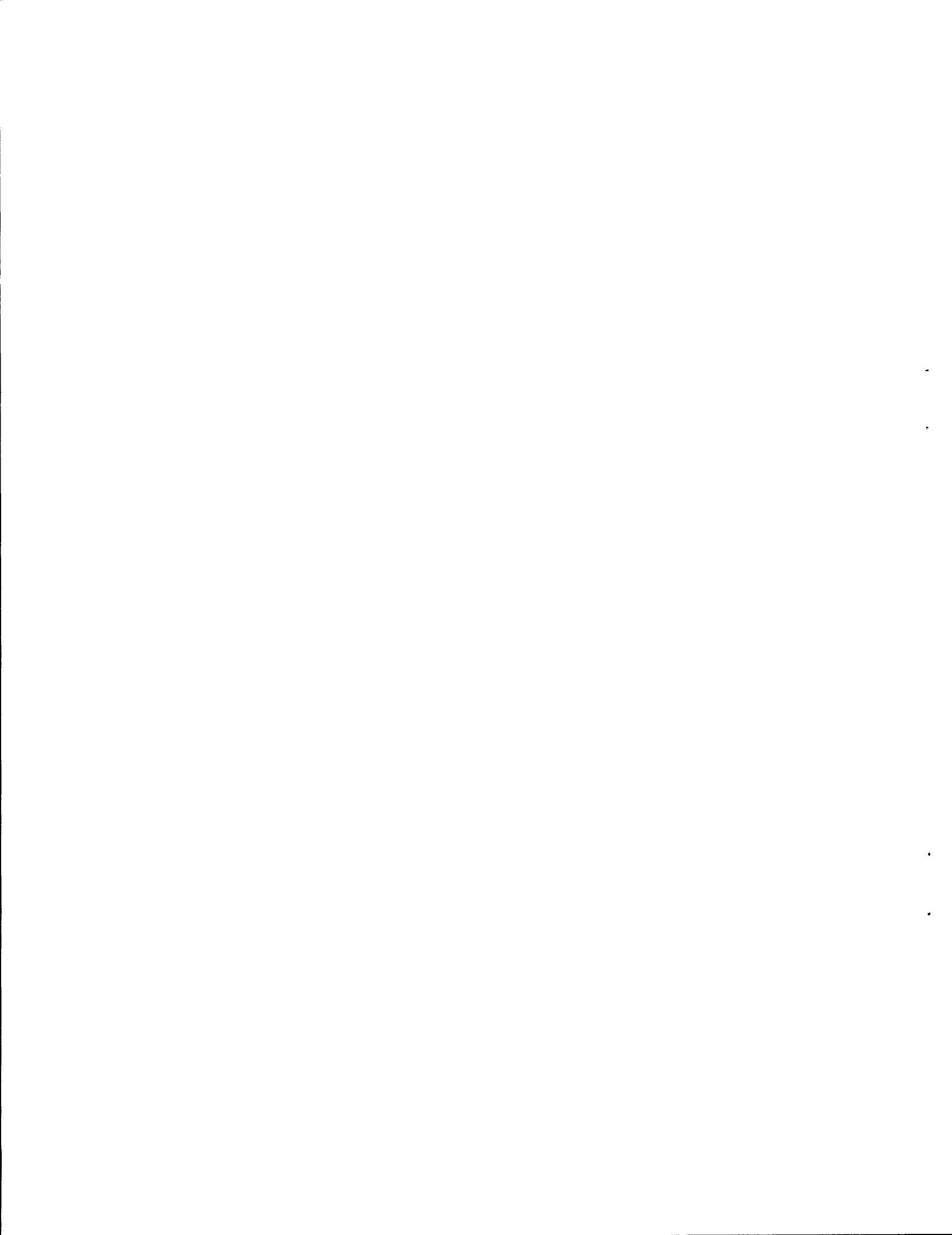
**REVIEW TITLE:** DOE Major Information Systems (IS) Review Program

**DOE REVIEW NUMBER:** 90-06

**REVIEW TYPE:** 1     **REVIEW CATEGORY(IES):** 6

**SCOPE OF REVIEW:** All DOE operational IS are required to be reviewed every 3 years. The Office of Automatic Data Processing (ADP) Management reviews those IS which have been reported to Office of Management and Budget as major IS. Each major IS review will determine the extent to which the system is satisfying requirements and meeting intended objectives. Also, each review will address the system's input and sources, output and recipients, data elements and definitions, operational efficiency and costs, documentation, other recent evaluations, and unclassified computer security.

**BRIEF DESCRIPTION:** Each review will begin with the screening and evaluation of all available documentation of the subject system. Interviews will be conducted with the system's management personnel, users, other organizations impacted by the system, and support programmers. A final report of findings and recommendations will be prepared for each review.

**REVIEW MILESTONES AND SCHEDULES:** Major IS reviews will be performed subject to the availability of funds for contractor support services. However, the following IS reviews have been tentatively scheduled to begin during FY 1990:

1. Departmental Integrated Standardized Core Accounting System (DISCAS) Review - First Quarter

2. DOE Integrated Security System (DISS) - Third Quarter

**ORGANIZATION CONTACT NAME:** J. Archie Ruatto

**LOCATION AND TELEPHONE NUMBER:** DOE Headquarters, Office of ADP Management, 353-3307.
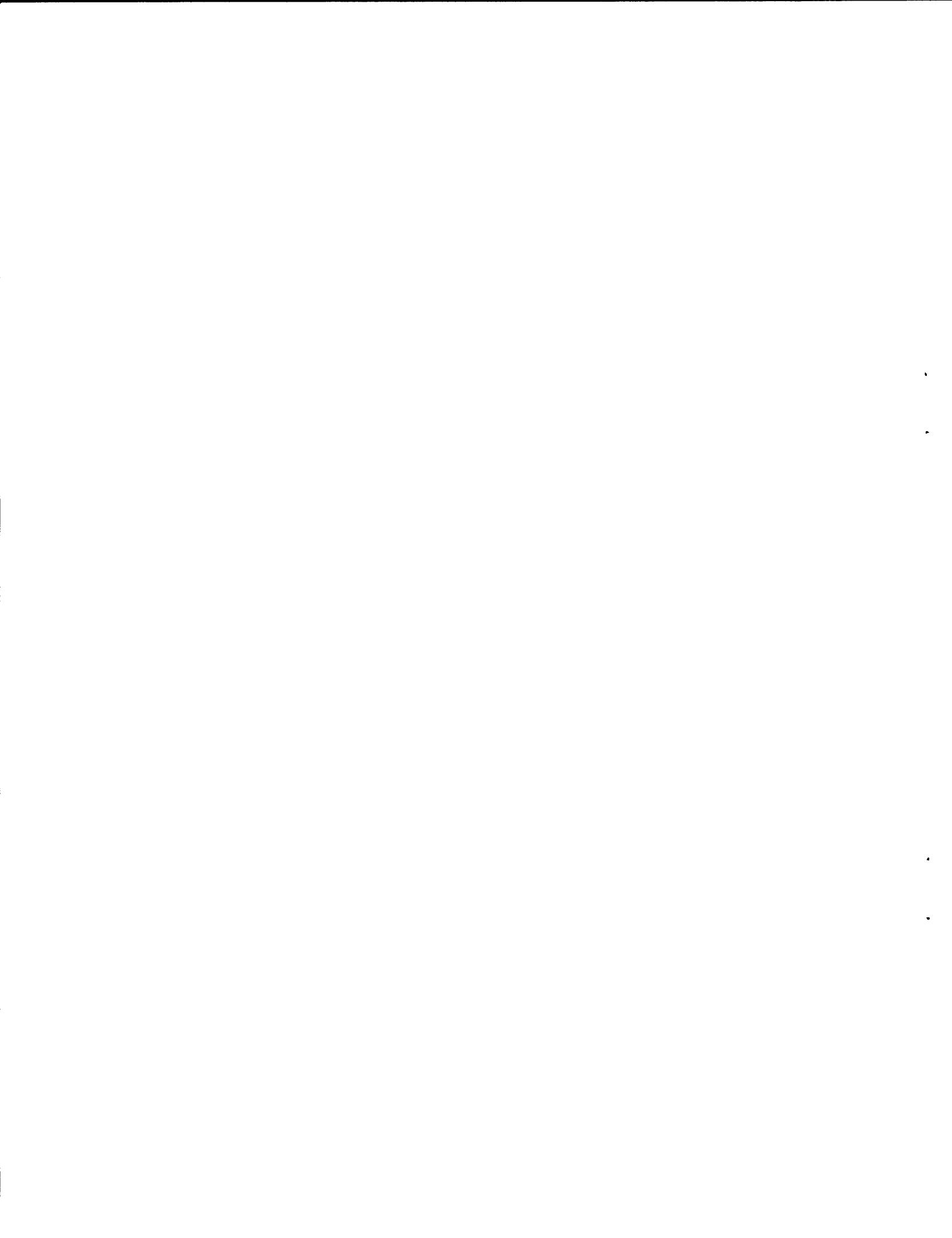
Department of Energy
Information Resources Management Review Plan
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IRM REVIEW SYNOPSIS (FY 1990 REVIEW)

**REVIEW TITLE:** Telecommunications Management Review

**DOE REVIEW NUMBER:** 90-07

**REVIEW TYPE:** 1     **REVIEW CATEGORY(IES):** 1

**STATUS:** _x_ No change, on schedule. ___Review postponed/rescheduled.
       ___Review canceled.
       ___New, previously unreported review.
       ___Other.

**SCOPE OF REVIEW:** Reviews will be conducted at three locations of all voice and data communications and spectrum-dependent programs.

**BRIEF DESCRIPTION:** At each location reviewing officials from the Division of Telecommunications will review local orders and procedures which are in place to implement Headquarters policies and directives; preparation and submission of proposals required by the Federal Information Management Regulations; specific operations, systems, and reports; procedures which are in place to oversee subordinate office and Government-owned, contractor-operated facilities; and organization and staffing patterns.

**REVIEW MILESTONES AND SCHEDULES:** To be developed by October 1989.

**ORGANIZATION CONTACT NAME:** Donald E. Scott

**LOCATION AND TELEPHONE NUMBER:** DOE Headquarters, Division of Telecommunications, 353-4643.
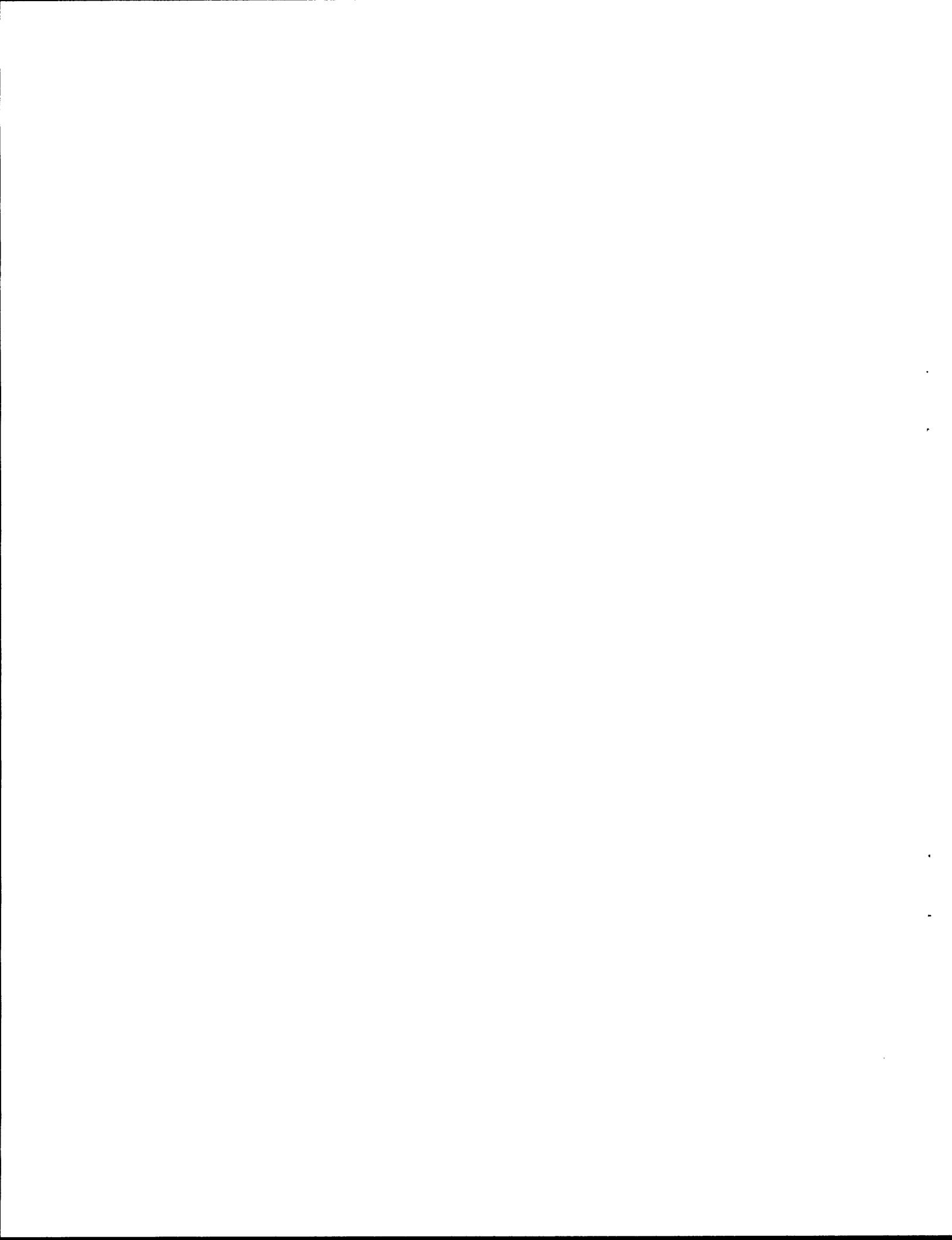
Department of Energy
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IRM REVIEW SYNOPSIS (FY 1990 REVIEW)

**REVIEW TITLE:** Germantown Computer Center Upgrade Post-Implementation Review

**DOE REVIEW NUMBER:** 90-08

**REVIEW TYPE:** 1    **REVIEW CATEGORY(IES):** 3, 4, 8

**STATUS:** _x_No change, on schedule.  ___Review postponed/rescheduled.
___Review canceled.
___New, previously unreported review.
___Other.

**SCOPE OF REVIEW:** Conduct post-implementation analysis of the Germantown Computer Center to determine the effectiveness of installation of new computer technology.

**BRIEF DESCRIPTION:** The implementation will be conducted by independent resources. It is estimated that 2 man-years of effort will be required at an estimated cost of $150,000.

**REVIEW MILESTONES AND SCHEDULES:**

| | Milestone Description | Begin Date | End Date | Status |
|---|---|---|---|---|
| 1. | Office Automation Mainframe vs. AOSS | 1/4/88 | 9/30/88 | Complete |
| 2. | Post-Implementation Return on Investment Analysis | 8/30/90 | 2/1/91 | No change |
| 3. | Facility Upgrade Analysis | 8/30/90 | 2/1/91 | No change |

Performance Measures:

1.  Retirement of outdated technology with attendant cost reduction in maintenance and licenses.

2.  Reduction in commercial timesharing and avoidance of cost associated with timesharing that would have been required.

**ORGANIZATION CONTACT NAME:**  Eva T. Jun

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Division of ADP and Telecommunications Planning and Integrity, 353-4620.
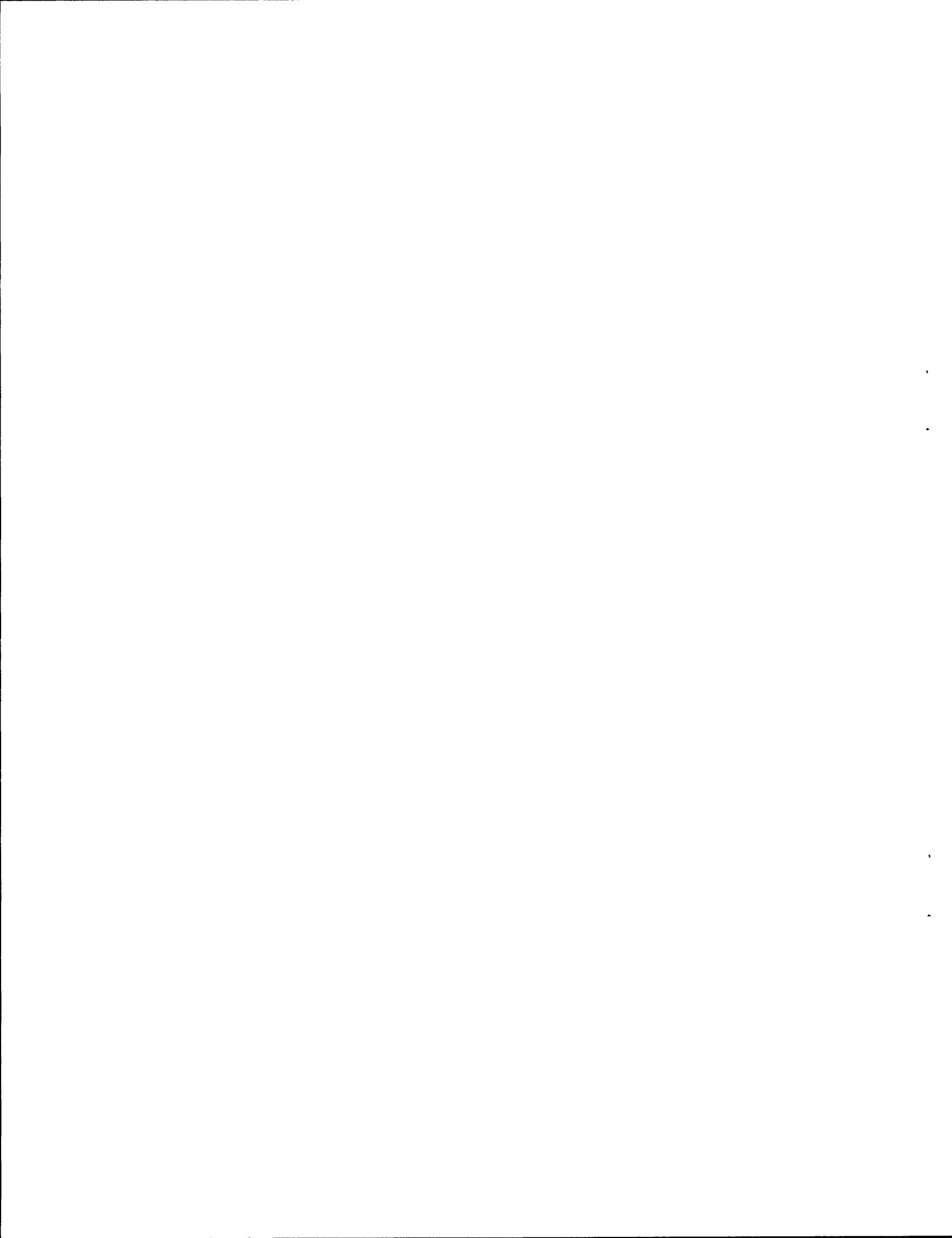
Department of Energy
Information Resources Management Review Plan
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<u>IRM REVIEW SYNOPSIS (FY 1990 REVIEW)</u>

**REVIEW TITLE:** Financial Management System Review Program

**DOE REVIEW NUMBER:** 90-09

**REVIEW TYPE:** 7    **REVIEW CATEGORY(IES):** 4, 6

**STATUS:** _x_No change, on schedule. ___Review postponed/rescheduled.
___Review canceled.
___New, previously unreported review.
___Other.

**SCOPE OF REVIEW:** The evaluation is of the Department's financial management system. Personnel from the Deputy Assistant Secretary for Financial Management and Controller coordinate the evaluation which is performed by both Headquarters and Field organizations, and includes all components of the Department's financial management system to ensure compliance with OMB Circular A-127.

**BRIEF DESCRIPTION:** The Department's conformance review process is designed to comply with OMB's "Guidelines for Evaluating Financial Management/Accounting Systems." These guidelines require the performance of limited financial management system reviews at least once every five years. The Department will use a self-assessment questionnaire approach to satisfy limited review requirements. Detailed reviews, which include system testing, will be independently performed by personnel of the Deputy Assistant Secretary for Financial Management and Controller and/or a contractor of those offices scheduled for review in 1990. There are 17 limited reviews and 5 detailed reviews scheduled for FY 1990.

**REVIEW MILESTONES AND SCHEDULES:** Specific schedules will be determined in FY 1990, with individual office self-assessments performed at various times during the year. All results will be reported (as of September 30, 1990) in the first quarter of FY 1991 in the annual assurance letters.

Personnel in the Office of Compliance and Audit Liaison will establish guidelines, develop questionnaires, require testing to be performed, monitor and conduct reviews, and perform quality assurance evaluations on review reports. The evaluations will be performed by both Headquarters and Field organizations and shall include all components of the Department's financial management system. These components are the:

- Departmental Integrated Standardized Core Accounting System (DISCAS);
- Payroll/Personnel System (PAY/PERS);
- Accounting systems of the five Power Marketing Administrations;
- Department's Financial Information System (FIS);
- Departmental Budget Formulation System; and
- Departmental Budget Execution System.

**ORGANIZATION CONTACT NAME:**  McKinley E. Bryant

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Office of Compliance and Audit Liaison, 353-2551.

90-09-1

## IRM REVIEW SYNOPSIS (FY 1990 REVIEW)

**REVIEW TITLE:**  Departmental Forms Review

**DOE REVIEW NUMBER:**  90-11

**REVIEW TYPE:**   1      **REVIEW CATEGORY(IES):**  10

**STATUS:** _X_No change, on schedule.  ___Review postponed/rescheduled.
___Review canceled.
___New, previously unreported review.
___Other.

**SCOPE OF REVIEW:**  A pilot test of an electronic forms system with 50 user workstations and approximately 25 electronic forms is currently being conducted.  Users will be surveyed and the system evaluated in November 1989, with recommendations for future actions presented in December.  Possible future projects include:  an on-line electronic forms library, exploration of field office compatibility, and forms interface with relational databases.

**BRIEF DESCRIPTION:**  The review will focus on current forms program processes, techniques, and procedures and any observed improvements in efficiency and effectiveness emanating from the introduction of the pilot electronic forms system.  It is anticipated that the volume of forms used in hard copy can be reduced by the introduction of electronic forms.  Form designs can be stored in microcomputers, data entered in appropriate blocks on the electronic form, and completed (filled in) forms can be printed using laser printers or transmitted electronically, thereby reducing the need for forms storage and distribution.

**REVIEW MILESTONES AND SCHEDULES:**  To be determined.

**ORGANIZATION CONTACT NAME:**  Sharon Evelin

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Information Management Branch, Office of Organization and Management Systems, 586-3290.
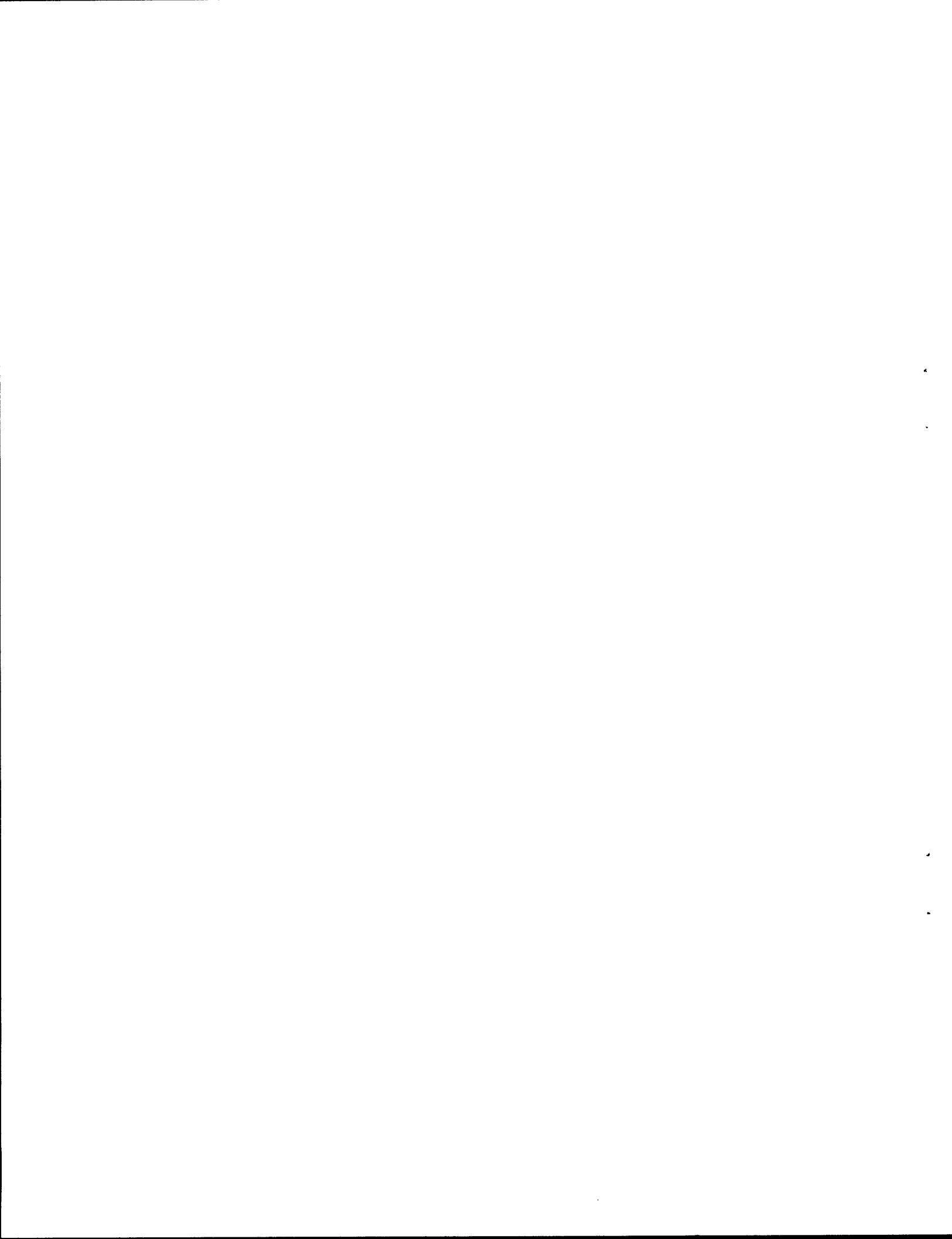
Department of Energy
Information Resources Management Review Plan
FY 1989 - FY 1991 Cycle

IRM REVIEW SYNOPSIS (FY 1990 REVIEW)


**REVIEW TITLE:**  DOE Real Property Inventory System (RPIS) Review

**DOE REVIEW NUMBER:**  90-12

**REVIEW TYPE:**   1       **REVIEW CATEGORY(IES):**  2, 4, 6

**STATUS:** _x_No change, on schedule.   ___Review postponed/rescheduled.
            ___Review canceled.
            ___New, previously unreported review.
            ___Other.

**SCOPE OF REVIEW:**  Review the RPIS to ensure that data elements (1) are not duplicated in other Departmental systems, (2) are essential to carry out necessary property management functions, and (3) are essential to satisfy external reporting requirements.

**BRIEF DESCRIPTION:**  Staff members of the Real Property and Facilities Management Division will review each data element contained in the system to determine its essentiality.  This review will cover usage of the data element, quality of data, ease from system usage files, field comments, and new or revised management requirements.

**REVIEW MILESTONES AND SCHEDULES:**  Occurs on an annual basis or when management requirements change.

**ORGANIZATION CONTACT NAME:**  Richard W. Earl

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Real Property and Facilities Management Division, 586-1191.
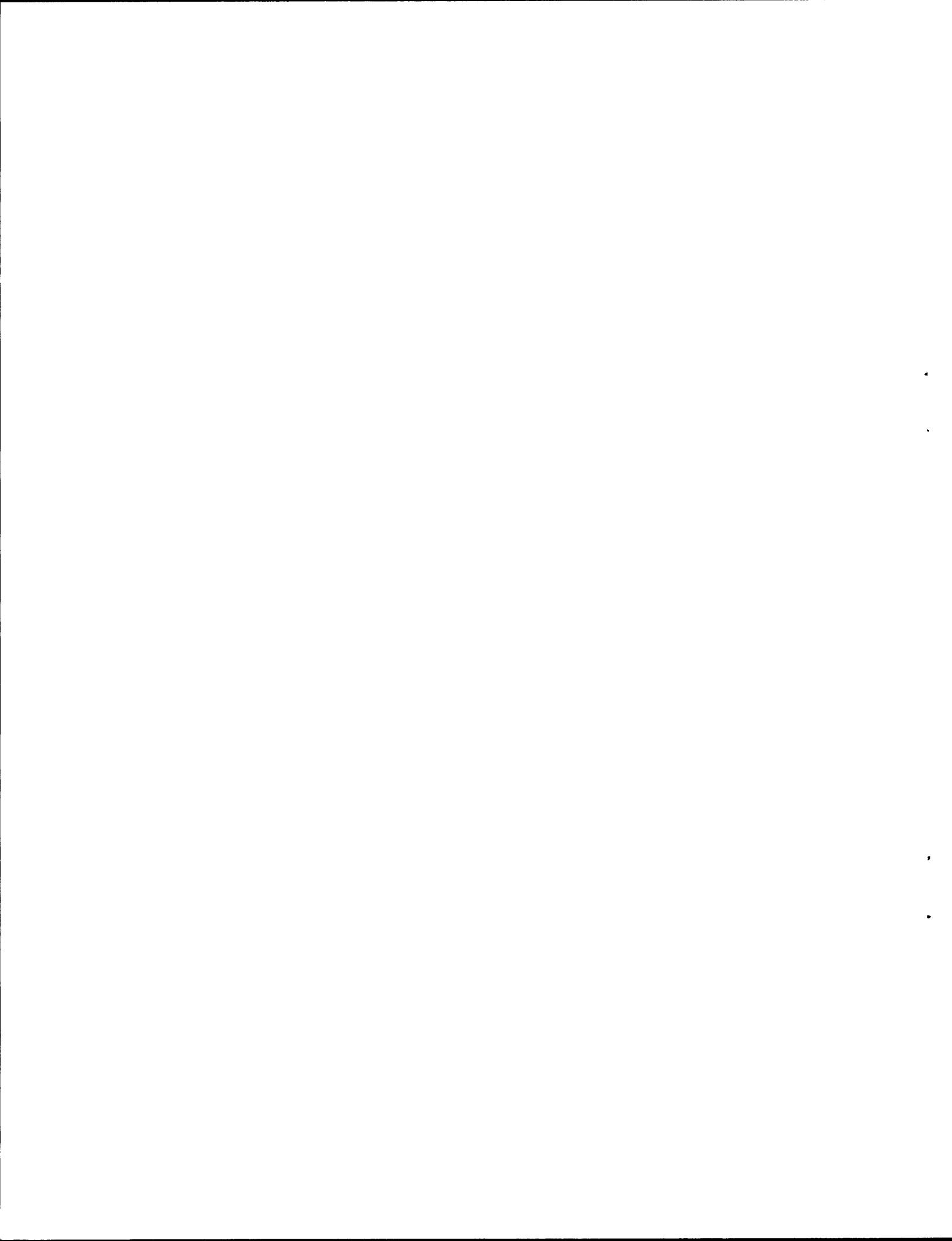
Department of Energy
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IRM REVIEW SYNOPSIS (FY 1990 REVIEW)

**REVIEW TITLE:** Performance of Commercial Activities (A-76)

**DOE REVIEW NUMBER:** 90-13

**REVIEW TYPE:** 6   **REVIEW CATEGORY(IES):** 4

**STATUS:** ___No change, on schedule.  _x_Review postponed/rescheduled.
___Review canceled.
___New, previously unreported review.
___Other.

**SCOPE OF REVIEW:** The Department will review the following IRM activities currently performed by agency personnel to determine whether in-house performance or contractor operation is more economical.

| Activity | Location | Estimated Start Date | Planned Completion |
|---|---|---|---|
| Library Operations | Bonneville Power Admin., Oregon | 3/88* | 1/90 |
| Computer Operation | Bonneville Power Admin., Oregon | 1/88* | 8/90*** |
| Security Clearance Processing | Germantown, Maryland | 11/89** | 3/90 |
| Central Mail Services | Germantown, Maryland Washington, D.C. | 11/89** | 3/90 |
| Mapping Services | Bonneville Power Admin., Oregon | 11/89** | 12/90 |

\* Actual start dates are shown for library operations and computer operations at BPA.

\*\* Study delayed into FY 1990 and further delays are subject to OMB publishing DOE's A-76 study schedule in the Federal Register Notice.

\*\*\* Study on hold due to major reorganization at BPA.

**BRIEF DESCRIPTION:**  A-76 cost comparison studies consist of development of a statement of work, quality assurance surveillance plan, a most efficient in-house organization and an estimate of cost, and the comparison with private sector costs for performing the activity.

**REVIEW MILESTONES AND SCHEDULES:**  See the Scope of Review section above for milestones/schedules for each of the planned A-76 studies.

**ORGANIZATION CONTACT NAME:**  Richard S. Moore

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Management Systems Development and Evaluation Branch, Office of Organization and Management Systems, 586-3295.

IRM REVIEW SYNOPSIS (FY 1990 REVIEW)

**REVIEW TITLE:**  DOE Publications Review (Periodicals and Public Communications)

**DOE REVIEW NUMBER:**  90-14

**REVIEW TYPE:**  8     **REVIEW CATEGORY(IES):**  4, 11 (Publications Management)

**STATUS:** X__No change, on schedule.   ___Review postponed/rescheduled.
    ___Review canceled.
    ___New, previously unreported review.
    ___Other.

**SCOPE OF REVIEW:**  The DOE Publications Review is both a continuous review process and an annual review and reporting process covering all Departmental Elements and contractors.  The continuous review effort involves the review of all proposed publications prior to printing.  The annual review effort includes data gathering and review of costs, number, audience, and relevance of recurring periodicals and electronic information distributed to the public, and the purging of mailing lists.

**BRIEF DESCRIPTION:**  A continuous process is in place to review each proposed DOE-funded publication to be distributed to a non-Federal government audience. New periodicals must include a written justification.  Office of Public Affairs reviews cover all organizational elements, including contractors.  On an annual basis DOE Elements are required to report on the titles and cost of all DOE-funded periodicals, including separate cost totals for non-periodical DOE-funded publications.  Also required are cost and other information regarding data the Department disseminates electronically to the public. Another annual process is the purging of mailing lists.

Included in the reviews are evaluations by sponsoring offices, the Office of Public Affairs, and the Office of Management and Budget (OMB) concerning the value of continuing the activity.  Those that no longer fill a statutory or other recognized requirement or that do not appear to justify their cost are discontinued.  The annual reporting process also includes proposed periodicals that must be approved by the Office of Public Affairs.  Periodicals are inventoried by title; one-time only publications are reported by aggregate cost.  The data from the past fiscal year and two out years are reported.

**REVIEW MILESTONES AND SCHEDULES:**

1.  Annual review begins 7-1-90

2.  Annual review ends 9-30-90

**ORGANIZATION CONTACT NAME:**  F. Chester Gray

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Office of Public Affairs, 586-4670.

## IRM REVIEW SYNOPSIS (FY 1990 REVIEW)

**REVIEW TITLE:** EIA's Forrestal Computer Facility Fiscal Year Long Range Site Plan

**DOE REVIEW NUMBER:** 90-15 (DELETED)

**REVIEW TYPE:** N/A     **REVIEW CATEGORY(IES):** N/A

**STATUS:** ___No change, on schedule.   ___Review postponed/rescheduled.
        ___Review canceled.
        ___New, previously unreported review.
        _x_Other (DELETED FROM PLAN)

**SCOPE OF REVIEW:** N/A

**BRIEF DESCRIPTION:** Review objectives were accomplished by Review 89-09.

**REVIEW MILESTONES AND SCHEDULES:** N/A

**ORGANIZATION CONTACT NAME:** John H. Yienger

**LOCATION AND TELEPHONE NUMBER:** DOE Headquarters, Energy Information Administration, ADP Services Staff, 586-1977.

## IRM REVIEW SYNOPSIS (FY 1990 REVIEW)

REVIEW TITLE:  Energy Information Administration (EIA) Planning and Budget Reviews

DOE REVIEW NUMBER:  90-16

REVIEW TYPE: 1    REVIEW CATEGORY(IES):  11 (Planning & Budget)

STATUS:  Planned

SCOPE OF REVIEW:  Review is a centrally managed planning process that covers all personnel and dollar resources required to produce the information products of EIA.  Review is concerned with the effective allocation and subsequent utilization of EIA resources and the products those resources will produce.  In the fall of 1989, EIA will review resource commitments for FY 1990.  FTE and contract dollars will be realigned from previous plans to reflect current schedules and priorities.  Outlines of plans for the upcoming year are prepared for review and approval of the Administrator.  In the spring of 1990, EIA will conduct its 3-year prospective review, reexamining the goals and objectives already established for FY 1991 and preparing the first plan for activities in FY 1992.  Based on the decisions for FY 1992, EIA will then prepare a budget for that year.

BRIEF DESCRIPTION:  The review occurs on an annual cycle in three stages:

1.  The Annual Operating Plan review examines manpower and program plans and expenditures for the upcoming fiscal year, and results in a predetermined, defined list of programs approved by the Administrator at the beginning of each year.

2.  The Multiyear Operating Plan takes a 3-year look at resources and programs, combining separate planning and budgeting activities into a single review process to save time and resources.  The budget for the next year is based on decisions made during this process.

3.  The budget formulation and reviews prepared for the Department, the Office of Management and Budget, and Congress examine funding profiles and proposed programs at EIA based on priorities established in the planning process described above.  These planning exercises provide policy and program direction to EIA managers, coordinate programs crossing organizational units, and balance resources against requirements among programs and over time.

REVIEW MILESTONES AND SCHEDULES:

1. Annual Operating Plan Review       November 1989

2. Multiyear Operating Plan Review    May 1990

3. Budget Preparation                 June 1990

ORGANIZATION CONTACT NAME:   Bruce D. Dwyer

LOCATION AND TELEPHONE NUMBER:  DOE Headquarters, Energy Information
Administration, Division of Planning and Financial Management, 586-6585.

90-16-1

## IRM REVIEW SYNOPSIS (FY 1990 Review)

**REVIEW TITLE:**  DOE Information Collection Reviews

**DOE REVIEW NUMBER:**  90-17

**REVIEW TYPE:**    1        **REVIEW CATEGORY(IES):**  11 (Information Collections)

**STATUS:** _x_No change, on schedule.    ___Review postponed/rescheduled (explain:)
___Review canceled (explain:)
___New, previously unreported review.
___Other (explain:)

**SCOPE OF REVIEW:**  Reviews will be conducted of the 21 management and procurement information collection packages and the more than 600 information collections therein in order to eliminate, where possible, individual information collections imposed on contractors, grantees and other elements of the public; and to modify the remaining information collections so that they impose the minimum possible burden on the public.

**BRIEF DESCRIPTION:**  Using the results of the FY 1990 information collection reviews, the various DOE program and functional managers ("package managers") having cognizance over one or more management and procurement information collections will update the paperwork burden information for their respective collections and report the results of their updates to the Office of Organization and Management Systems for inclusion in the DOE Information Collection Budget (ICB).  The reviews will include a critical evaluation of the necessity for collecting the information and will use the practical utility criterion in 5 CFR 1320 as the basis for their continuation.  A reassessment of the remaining collections will be conducted to determine whether modifications can be made so as to reduce their paperwork burden impact.

**REVIEW MILESTONES AND SCHEDULES:**

1.  Call to Package Managers to review their collections:  October 1989

2.  Review results due to the Office of Organization and Management Systems: February 1990

3.  Complete preparation of the FY 1991 ICB:  August 1990

4.  Present ICB to the Office of Management and Budget:  As required

**ORGANIZATION CONTACT NAME:**  Jeff Martus

**LOCATION AND TELEPHONE NUMBER:**  DOE Headquarters, Information Management Branch, 586-6359.

90-17-1

IRM REVIEW SYNOPSIS (FY 1990 REVIEW)

**REVIEW TITLE:** Western's FY 1990 ADP Data Center Site Reviews

**DOE REVIEW NUMBER:** 90-18

**REVIEW TYPE:** 2     **REVIEW CATEGORY(IES):** 2, 3, 4, 8, 9

**STATUS:** _x_ No change, on schedule.     ___ Review postponed/rescheduled.
___ Review canceled.
___ New, previously unreported review.
___ Other.

**SCOPE OF REVIEW:** To verify ongoing compliance with Western's current policies and procedures as well as good ADP management practices, Western's ADP management staff will review the status of each of Western's ADP data centers in the areas of computer operations, facilities management, data security, configuration management, and software/hardware configuration.

**BRIEF DESCRIPTION:** The ADP review team will provide questionnaires for the use of data center ADP management in verifying compliance in the broad areas referenced above. Specifically, the data centers will update the status of progress on recommendations from the 1989 site review. Details of automated data processing equipment and automated office support systems acquisitions and inventory will be provided. Responses to questions on computer operations coverage will be given and recent changes to ADP facilities will be detailed. The status of implementation or maintenance of security measures will be provided. Descriptions of locally developed software and its disposition will be included, as will details of any major changes or problems involving hardware or software configuration.

**REVIEW MILESTONES AND SCHEDULES:**

February 1990:  Distribute self-review questionnaires.

April 1990:  Compile responses from data centers.

June 1990:  Issue final report to Assistant Administrator for Management.

**ORGANIZATION CONTACT NAME:** Ronald W. Sohnholz

**LOCATION AND TELEPHONE NUMBER:** Western Area Power Administration, FTS 327-7407.
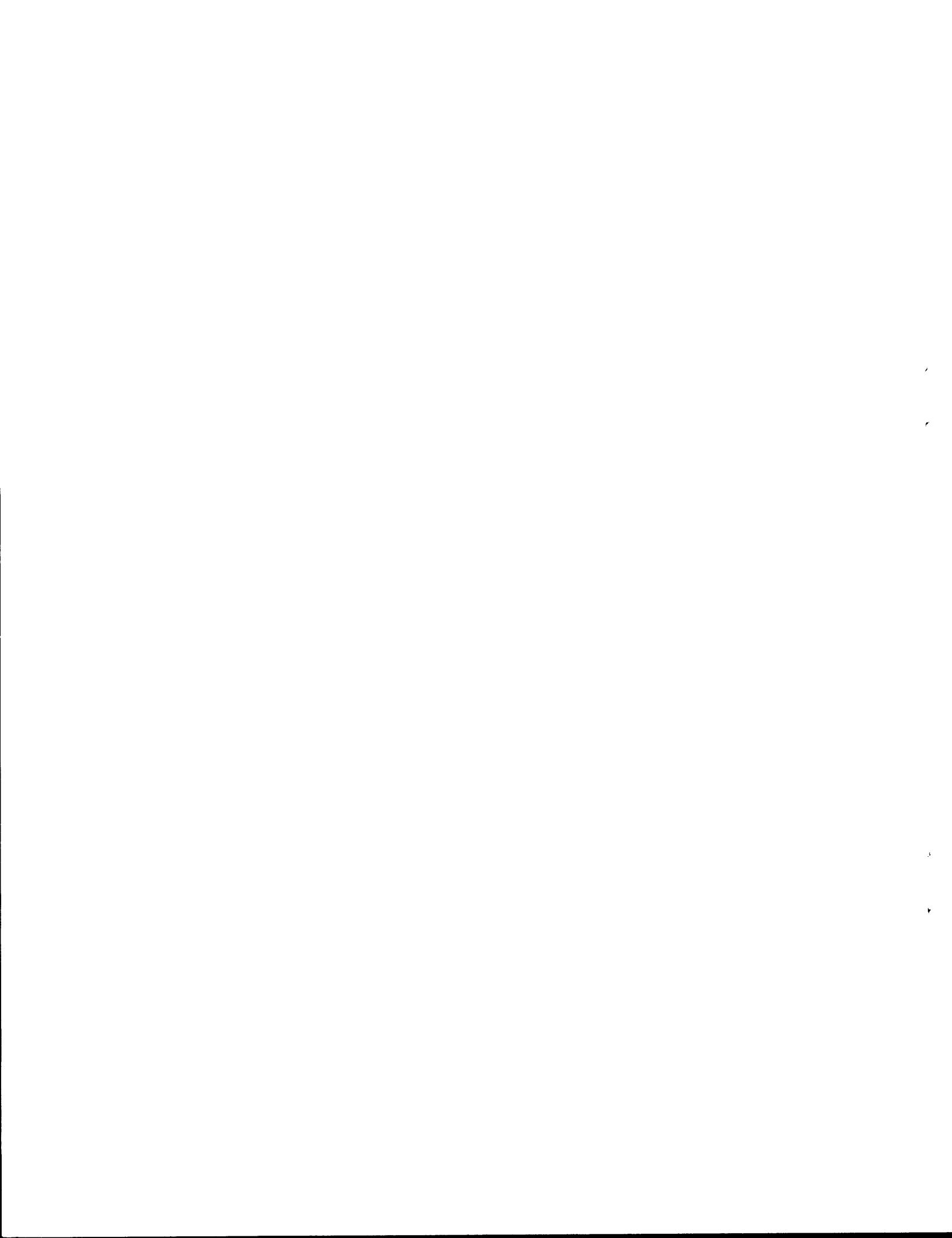
Department of Energy
Information Resources Management Review Plan
FY 1989 - FY 1991 Cycle

IRM REVIEW SYNOPSIS (FY 1990 REVIEW)

**REVIEW TITLE:** Western's Management Information System Reviews

**DOE REVIEW NUMBER:** 90-19

**REVIEW TYPE:** 1 **REVIEW CATEGORY(IES):** 6

**STATUS:** _x_No change, on schedule. ___Review postponed/rescheduled.
___Review canceled.
___New, previously unreported review.
___Other.

**SCOPE OF REVIEW:** The following automated application systems will be evaluated in all of Western Area Power Administration's (Western) computer site locations (Golden, Loveland, Boulder City, Billings, Sacramento, and Salt Lake City):

- Disposal System
- Power Management Information System
- Power Repayment Studies System
- Automated Classification System
- Annual Outage and Maintenance System
- Maintenance Information System

The Area Offices' "Power Billing" automated application system will be evaluated in Sacramento, Boulder City, and Salt Lake City.

**BRIEF DESCRIPTION:** The purposes of Western's IRM Reviews are to:

1. Determine if automated operational application systems, which support non-financial management functions, are meeting the intended objectives and requirements.

2. Assess the efficiency and cost effectiveness of the systems reviewed.

3. Review the existence and adequacy of internal security controls within each system. Identify areas of particular vulnerability to waste, fraud, or abuse of records, data, and information generated from these automated management systems.

The review team will be comprised of at least:

1.  One Division of Data Processing employee, who will serve as Team Leader for the review;

2.  One Systems Analyst from the Division of Data Processing; and

3.  One functional user representing the system reviewed.

**REVIEW MILESTONES AND SCHEDULES:**

April - June 1990:  Conduct on-site review at Billings, Montana; Loveland, Colorado; Salt Lake City, Utah; Montrose, Colorado; Phoenix, Arizona; Boulder City, Nevada; Sacramento, California; and Western's Headquarters Office.

August 1990:  Issue draft report.

September 1990:  Issue final report.

**ORGANIZATION CONTACT NAME:**  Roland W. Sohnholz

**LOCATION AND TELEPHONE NUMBER:**  Western Area Power Administration, FTS 327-7407.

90-19-1

IRM REVIEW SYNOPSIS (FY 1990 REVIEW)

**REVIEW TITLE:** Internal Control Evaluation of the Energy Information Administration (EIA) Program Offices

**DOE REVIEW NUMBER:** 90-20

**REVIEW TYPE:** 2    **REVIEW CATEGORY(IES):** 4, 6

**STATUS:** ___No change, on schedule.   ___Review postponed/rescheduled.
___Review canceled.
___New, previously unreported review.
_x_Other.  (PREVIOUSLY IDENTIFIED AS DOE REVIEW 89-04)

**SCOPE OF REVIEW:** Review will involve an internal control evaluation (ICE) of the EIA program offices responsible for the design and operation of the National Energy Information System (NEIS) data, analysis, and forecasting components.  Note:  The NEIS is not an MIS as defined in the Paperwork Reduction Act.

**BRIEF DESCRIPTION:** Standard DOE review methodology will be employed, as outlined in DOE Order 1000.3B, Internal Control Systems.

**REVIEW MILESTONES AND SCHEDULES:** The ICE will be conducted during FY 1990 and a report issued by October 15, 1990.

**ORGANIZATION CONTACT NAME:** Richard H. Moore

**LOCATION AND TELEPHONE NUMBER:** DOE Headquarters, Energy Information Administration, 586-6485.