

# **Federal Energy Regulatory Commission**

## **FY10 e-Government Act Report**



October 14, 2010

Federal Energy Regulatory Commission  
Information Technology Policy and Regulatory Compliance Division  
888 1<sup>st</sup> Street NE  
Washington, DC 20426

## Executive Summary

FERC continues to support the E-Government Act with our FERC Online initiative. In FY10, we deployed the [eTariff](#) system, as described in [FERC Order 714](#). In FY11, FERC plans to procure a new document management system to modernize and replace the existing [eLibrary](#) system.

### I. Innovation and Transportation:

- a. 3 Top E-Government IT Accomplishments
  - i. In FY10, we completed our [eTariff](#) initiative in accordance with [FERC Order No. 714](#); requiring revision of regulations to require that all tariffs and tariff revisions and rate change applications for the public utilities, natural gas pipelines, oil pipelines and power administrations be filed electronically according to a set of standards developed in conjunction with the North American Energy Standards Board. About half of the paper filings at FERC were tariff filings, which are now being filed electronically through the [eTariff](#) system. [eTariff](#) leverages the existing [eFiling](#) and [eLibrary](#) systems.
  - ii. FERC also implemented an internal Freedom of Information Act (FOIA) tracking system to track all public requests for nonpublic or privileged FERC information. This system will provide FERC's [Office of External Affairs \(OEA\)](#) the ability to capture [FOIA](#) requests expediently and deliver requested material quicker. It will also save time for [OEA](#) staff to prepare [annual FOIA reports](#).
  - iii. In addition, we created, published and maintain FERC's [Open Government Webpage](#). Included on this page are the Commission's current strides to make FERC more transparent, participatory and collaborative. In addition, there is an option for all users to participate in a survey to provide feedback on how we can make FERC more open. Further, FERC contact information, news and events are also incorporated on our site.

### II. Compliance with Goals and Provisions of the Act

- a. Our Information Resources directly support our [Strategic Plan](#). Our Enterprise Architecture (EA) Plan is currently under revision.
- b. Our top e-Government initiatives for FY10 include:
  - i. [eLibrary](#), which is FERC's electronic document management system, provides staff and the public with access to over two million documents with over 10 million pages. In 2010, FERC started to document requirements for a replacement to the existing [eLibrary](#) system; the procurement is funded for 2011.
  - ii. In FY10, FERC completed the [eTariff](#) project, which provides an interface for regulated entities to electronically submit tariff filings and the associated tariffs to the Commission. This project will also provide the public with improved access to those tariffs. [eTariff](#) provides

- transparency to the public for tariffs filed at the commission for oil, natural gas and electricity.
- iii. FERC also uses [eForms](#) which provides an integrated interface for customers to file structured data. The [eForms](#) initiative provides cost savings to the taxpayer through the reuse of software for the purpose of obtaining data collections from public companies.
  - iv. To identify eGovernment initiatives on a continued, ongoing basis we supplement our Capital Planning and Investment Control (CPIC) process by soliciting suggestion from customers and conducting regular reviews with component owners. As a result of customer suggestions and component owner feedback, we will implement enhancements to steady-state components.
- c. In order to improve and track performance at FERC, we use an internal Project Metrics Dashboard. This dashboard tracks the status, risk, priority, start/end dates, last updated and notes for each tasks areas' project. It is reviewed and analyzed at least weekly by the DCIO, directors and contractor managers.
  - d. Our [FOIA guide, request forms and other FOIA related information](#) can be found online; in addition, we have a [FOIA Service Center](#).
  - e. We do not fund research and development activities.
  - f. We do not rely on agreements with other agencies to disseminate information. However; updates to the Commission's regulations are readily available through the [Federal Register](#). In addition, we maintain a [citizen-centric web-page](#) to facilitate dissemination.
  - g. Our Comprehensive Records Disposition Schedules are being revised and will be made available on our website. We are also developing agency policy which will allow us to better manage our records in compliance with required regulations. Of the agency's total of 122 electronic systems or series of records in FY10, 54 were approved, 12 were submitted and are pending approval and 21 still need to be scheduled.
  - h. FERC does not currently use electronic signatures.
  - i. In order to encourage public participation, FERC has published an [Open Government Webpage](#) (see I.a.i above). We also supplement our Capital Planning and Investment Control (CPIC) process by soliciting suggestion from customers and conducting regular reviews with component owners (see II.b.i above). In addition, we promote our [news](#) and [conferences](#) so that the public is aware what is going on at FERC and they are welcomes to attend various conferences. Further, we use [eLibrary](#) (see II.b.i); [eComment](#)—where individuals and other interested persons can submit text comments in various proceedings; and [eSubscription](#)—where individuals can subscribe to a specific docket and be notified via email about all future submittals and issuances.
  - j. To collaborate and partner with other agencies, we:
    - i. Participate actively in the Small Agency Council and the Small Agency CIO Council;
    - ii. Participate actively in the Web Content Managers Forum group;
    - iii. Regularly review other agency solutions and best practices;

- 
- iv. Cross pollinate web pages on websites of the Department of Energy, the Canadian Government, the Commodity Futures Trading Commission (CFTC), the National Association of Regulatory Utility Commissioners (NARUC), and others.
  - k. In order to reduce errors through electronic transmission we use [eLibrary](#) (see II.b.i) and [eTariff](#) (see II.b.ii), which incorporates electronic error checking. Electronic tariffs are filed at the commission using XML. FERC has provided an online utility that allows the filers to submit their XML files for validation and provides the filers with an emailed report detailing the outcome of the validation checks. Once the actual [eTariff](#) XML submissions are electronically filed, FERC checks the files electronically and provides the filers with an acceptance or rejection email, depending on the outcome of the validation.
  - l. To ensure that availability of Government information and services is not diminished for FERC constituents without access to the Internet and for those with disabilities (in compliance with [Section 508](#)), we:
    - i. Continue to make the electronic filing of documents voluntary, driven by benefit rather than mandate;
    - ii. Allow parties to proceedings to waive electronic service of documents;
    - iii. Continue to use regular mail when appropriate to notify land-owners and other constituents of any agency proceedings that affect them;
    - iv. Continue to maintain a public reference room that provides access to both paper documents and FERC Online services;
    - v. Comply with ADA Section 508 guidelines;
    - vi. Continue to provide FERC constituents timely, informative customer service by telephone and e-mail
  - m. In order to quantify cost savings and avoidances achieved through IT programs FERC uses:
    - i. The [e-Tariff](#) project yielded cost savings at FERC through the reduction of paper and paper copies, plus the added efficiencies gained by having the tariffs electronically validated upon submission. Additionally, the manual process of reviewing tariffs and assigning them to a docket has been replaced with an auto-docketing function that requires no human input. Previously, tariffs were manually reviewed and then added to the [eLibrary](#) system. The new [eTariff](#) system automatically submits the files directly to [eLibrary](#) after electronically validating the tariff submission.
    - ii. The unified communications project has provided cost savings through work productivity gains at the desktop. Staff members are now able to teleconference and text from the desktop; this allows for fewer conference room meetings and less dependency on phone calls; it allows staff to be more efficient and effective. In addition, FERC no longer requires the telephone cabling and infrastructure because the new voice-over-IP system utilizes existing network cabling and infrastructure.
    - iii. We are engaged in a datacenter consolidation initiative, which reduces redundant infrastructure, labor costs, operating costs and energy consumption—promoting the use of Green IT. It also increases overall IT security posture and creates a more efficient computing platform.

- iv. FERC continues to leverage server virtualization to gain power and storage savings. FERC has virtualized servers for applications such as DAMS, Virtual Agenda, ATMS and [eFiling](#).