NSF and the OMB Open Government Directive (OGD)

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❖ NONE of this would have been possible without the EXCELLENT support of NSF supervisors and staff!!

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The Open Government Directive

❖ Issued on 8Dec09 by Peter Orszag, OMB Director

➢ issued to Heads of Executive Departments and Agencies

❖ Directed by President's Transparency and Open Government memo of 21Jan09

➢ supported by Federal CTO

❖ Implement: Transparency, Participation and Collaboration

❖ Establishes <u>deadlines</u> for actions that must be completed by Departments and Agencies

➢ encouraged to move ahead of schedule

❖ Openness is the default position for FOIA issues

Open Government Principles

❖ "<u>Transparency</u> promotes accountability by providing the public with information about what the Government is doing.

❖ <u>Participation</u> allows members of the public to contribute ideas and expertise so that their government can make policies with the benefit of information that is widely dispersed in society.

❖ <u>Collaboration</u> improves the effectiveness of Government by encouraging partnerships and cooperation within the Federal Government, across levels of government, and between the Government and private institutions."

Executive Departments and Agencies Will be REQUIRED to:

❖ Publish government information online

➤ high-value data

➤ online open format (platform independent, machine readable)

❖ Improve the quality of government information

➤ data must be quality assured and verified

❖ Create and institutionalize a culture of open government

➤ agency Open Government Plan

❖ Create an enabling policy framework for open government

High-value Data… is data that

❖ Can be used to increase agency accountability and responsiveness

❖ Improves public knowledge of the agency and its operations

❖ Furthers the core mission of the agency

❖ Can create economic opportunity

❖ Is responsive to need and demand as identified through public consultation

		#days	Due Date	Completed
12/8/09	**Open Government Directive (OGD)**			
	Agency Action Items: NSF			
1	**Publish Government Information Online**			
1.a	Agencies shall respect the presumption of openness by publishing information online and by preserving and maintaining electronic information, consistent with the Federal Records Act and other applicable law and policy.			
1.b	To the extent practicable and subject to valid restrictions, agencies should publish information online in an open format that can be retrieved, downloaded, indexed, and searched by commonly used web search applications. An open format is one that is platform independent, machine readable, and made available to the public without restriction that would impede the re-use of that information.			
1.c	To the extent practicable and subject to valid restrictions, agencies should proactively use modern technology to disseminate useful information, rather than waiting for specific requests under FOIA.			
1.d	Identify and publish online in an open format at least three high value data sets and register those data sets via Data.gov. These must be datasets not previously available online or in a downloadable format.	45	1/22/10	1/22/10
1.e	Create an Open Government Webpage (OGW) located at http://www.[agency].gov/open to serve as the gateway for agency activities related to the OGD and shall maintain and update that webpage in a timely fashion.	60	2/6/10	2/5/10
1.f	Each OGW shall incorporate mechanism for public to: give feedback on and assessment of published information; provide input about which information to prioritize for publication; and provide input on the agency's Open Government Plan			
1.g	Each agency shall respond to public input received on its OGW on a regular basis.		Recurring	
1.h	Each agency shall publish its annual FOIA Report in an open format on its OGW in addition to any other planned dissemination methods			
1.i	Each agency with a significant pending backlog of outstanding Freedom of Information requests shall take steps to reduce any such backlog by ten percent each year.		Recurring	
1.j	Each agency shall comply with guidance on implementing specific Presidential open government initiatives, such as Data.gov, eRulemaking, IT Dashboard, Recovery.gov, and USAspending.gov.		Recurring	
2	**Improve the Quality of Government Information**			
2.a	Each agency, in consultation with OMB, shall designate a high-level senior official to be accountable for the quality and objectivity of, and internal controls over the Federal spending information publicly disseminated through such public venues as USAspending.gov or other similar websites. The official shall participate in the agency's Senior Management Council, or similar governance structure for the agency-wide internal control assessment pursuant to the Federal Manager's Financial Integrity Act	45	1/22/10	1/21/10
2.b	The framework (see Other Actions) shall require agencies to submit plans with details of the internal controls implemented over information quality, including system and process changes, and the integration of these controls within the agency's existing infrastructure.		OMB Action	2/8/10
2.c	This guidance (see Other Actions) will identify the method for agencies to report quarterly on their progress toward improving their information quality.		OMB Action	
3	**Create and Institutionalize a Culture of Open Government**			
3.a	Each agency shall develop and publish on its OGW an Open Government Plan that will describe how it will improve transparency and integrate public participation and collaboration into its activities	120	4/7/10	4/7/10
	Each agency's plan shall be updated every two years.		Recurring	
3.b	The Open Government Dashboard (see Other Actions) will make available each agency's Open Government Plan, together with aggregate statistics and visualizations designed to provide an assessment of the state of open government in the Executive Branch and progress over time toward meeting the deadlines for action outlined in this Directive.			
3.c	DepDir for management at OMB, FCIO and FCTO will establish working group that focuses on transparency, accountability, participation, and collaboration within the Federal Government. This group will have senior level representation from program and management offices throughout the Government.			
4	**Create an Enabling Policy Framework for Open Government**			
	It is important that policies evolve to realize the potential of technology for open government.			
2/8/10	**Framework for the Quality of Federal Spending Information**			
	Data Quality Framework for Federal Spending Information (see next tab)			
	Agencies should ensure that information on Federal spending is objective and of high quality. Agencies should place an internal controls environment over the preparation and dissemination of financial data. This must include implementing an organizational structure, policies, processes and systems.			
	Data Quality Plans			
	Each agency must submit to OMB its data quality plan that implements and is consistent with the framework required above.			
	Each data quality plan must be certified by the Senior Accountable Official.			
	The Data Quality plan will include two sections:			
	1. Implementation of the Data Quality Framework			
	2. USASpending.gov Data			
	Submit Plans to OMB	65	4/14/10	4/14/10
	OMB Reviews Plans and provides feedback	16	4/30/10	4/30/10
	Finalize plans	14	5/14/10	

Websites of Interest

❖ http://www.whitehouse.gov/open

Websites of Interest

❖ www.data.gov/ogd

➤ open government directive datasets

➤ there is both a "Raw data" tab and a Tools tab: NSF has contributions in each area

Websites of Interest

❖ www.nsf.gov/open/

- ➢ NSF Freedom of Information Act Report Oct08-Sep09
- ➢ NSF GRF award recipients: 2000-2009
- ➢ NSF GRF Honorable Mention Recipients: 2000-2009
- ➢ NSF Research Grant Funding Rates
- ➢ Nat'l Survey of: College Grads, Recent College Grads, Dr. Recipients
- ➢ Research Spending and Results
- ➢ Key Science and Engineering Indicators: Digest 2010
- ➢ NSF Grants Mgmt and Info Research Spending and Results
- ➢ Comprehensive Info on Federal Spending by Agency and Spending Type
- ➢ NSF Spending Under the ARRA of 2009
- ➢ Performance of NSF Major IT Investments (Exhibit 300s): IT Dashboard

Websites of Interest

❖ http://opennsf.ideascale.com/

➢ mechanism to allow the public to give NSF feedback/suggestions on NSF and the Open Government Directive

❖ www.USASpending.gov

➢ view details of federal information technology investments

Websites of Interest

❖ http://www.recovery.gov/Pages/home.aspx
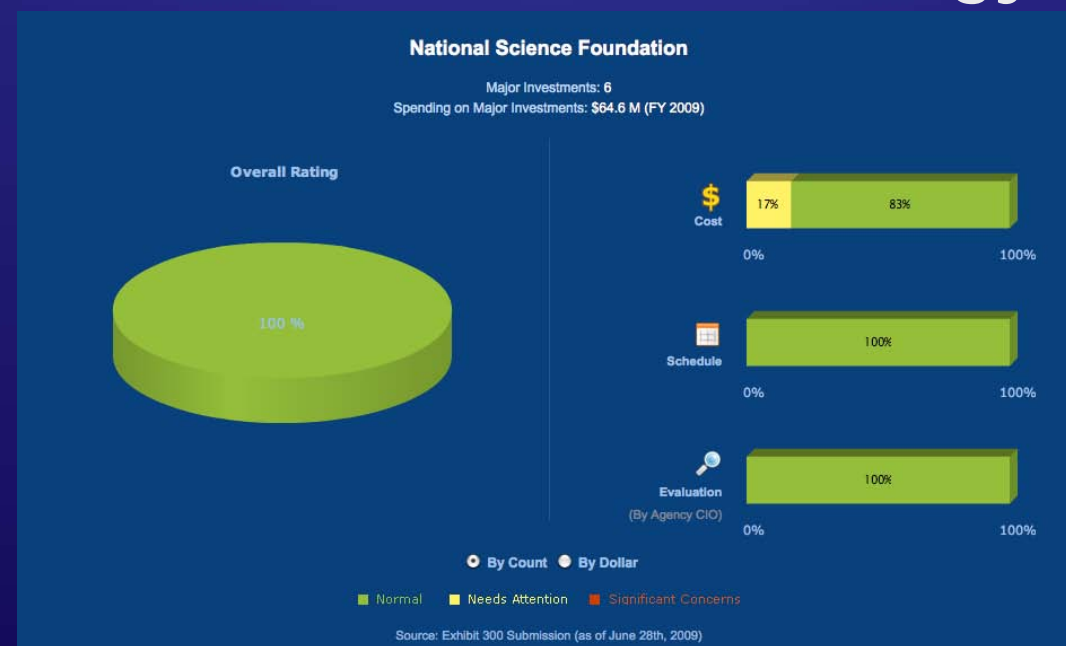
➢ provides access to data related to Recovery Act spending and allows for the reporting of potential fraud, waste, and abuse

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Websites of Interest

❖ http://www.research.gov/rgov/anonymous.portal
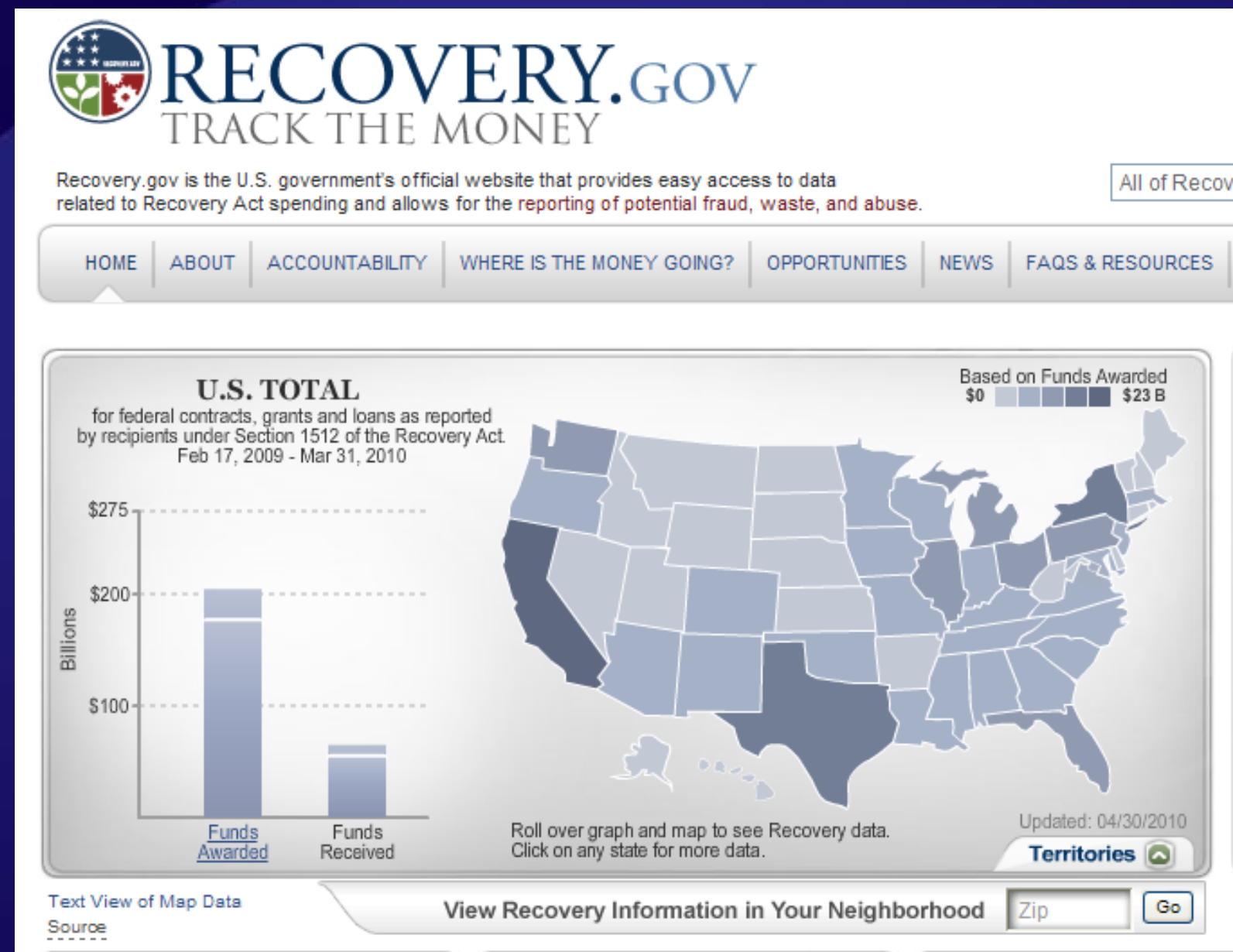
➢ partnership of federal research-oriented grant making agencies, led by NSF, with a shared vision of increasing customer service for the research community, while streamlining and standardizing business processes amongst partner agencies

Websites of Interest

❖ http://news.science360.gov/files/

➢ multimedia Web portal devoted to science, technology and engineering, launched by NSF, includes extensive collection of audio and video materials, images and articles

Websites of Interest

❖ http://www.nsf.gov/open/progress.jsp

Evaluating Our Progress

| Category	Score	Rationale
High-Value Data	Meets Expectations	NSF published four high-value data sets in an open, machine-readable format on January 21st. All four are registered and available for free download on Data.gov: 1. NSF Freedom of Information Act Report for October 1, 2008 through September 30, 2009 2. NSF Research Grant Funding Rates 3. NSF Graduate Research Fellowship Program Honorable Mention Recipients, 2000-2009 4. NSF Graduate Research Fellowship Program Award Recipients, 2000-2009
Data Integrity	Meets Expectations	On January 21, 2010 the National Science Foundation designated José L. Muñoz, Ph.D., Acting Director, Office of CyberInfrastructure (OCI), to be accountable for the quality and objectivity of, and internal controls over, the Federal spending information publicly disseminated through such public venues as USAspending.gov or other similar websites.
Open Government Webpage	Meets Expectations	On February 5, 2010 the National Science Foundation launched this, its Open Government Webpage. It includes a link to NSF's 2009 Freedom of Information Act Report in XML format, will include a link to NSF's Open Government Plan by April 7, and provides links to agency information available in open formats, including our high-value data sets.
Public Consultation	Meets Expectations	NSF's Open Government Webpage incorporates an engagement tool that enables the public to 1) provide input on the agency's Open Government Plan, 2) provide input about which information to prioritize for publication; and 3) give feedback on assessment of the quality of published information. The NSF Director and Acting Deputy Director have sent an email to all NSF employees encouraging them to share their ideas for the Foundation's Open Government Plan through the engagement tool or opengov@nsf.gov. In addition, NSF has developed and staffed a plan to respond to public input received on its Open Government Webpage on a regular basis.
Open Government Directive Plan	Meets Expectations	NSF published the National Science Foundation Open Government Directive Plan on April 7, 2010. The plan is available at http://www.nsf.gov/publications/pub_summ.jsp?ods_key=nsf10049. See our self-evaluation of the plan.

Upcoming Major Milestones

❖ NSF Open Data Directive Strategic Plan

➢ 07Apr10: COMPLETED

- in process of being revised in response to evaluations

❖ NSF Data Quality Plan

➢ 14April10: PLAN SUBMITTED TO OMB

➢ 14May10: COMPLETED

❖ NSF Flagship Initiative: IN PROGRESS

Agency	Overall Score	Basic + Bonus
Strongest Plans		
National Aeronautics and Space Administration	77/60	59 + 18
Department of Housing and Urban Development	59/58	55 + 4
Environmental Protection Agency	61/60	59 + 2
Department of Agriculture	59/60	53 + 6
Office of Personnel Management	57/58	57 + 0
Department of Transportation	56/60	54 + 2
Nuclear Regulatory Commission	56/60	55 + 1
Department of Labor	54/58	54 + 0

Agency	Overall Score	Basic + Bonus
Middle Ground		
Agency for International Development	53/60	47 + 6
Department of Education	51/58	49 + 2
Department of Commerce	50/60	49 + 1
Department of State	50/60	49 + 1
General Services Administration	47/58	46 + 1
Office of Science and Technology Policy	47/60	45 + 2
Department of Veterans Affairs	45/58	45 + 0
National Science Foundation	**44/58**	**40 + 4**
Social Security Administration	44/58	44 + 0
Department of Homeland Security	45/60	44 + 1
Council on Environmental Quality	43/58	43 + 0
Department of Health and Human Services	44/60	44 + 0
Office of the United States Trade Representative	44/60	44 + 0
Department of Interior	42/58	42 + 0
Small Business Administration	42/58	41 + 1
Office of National Drug Control Policy	43/60	43 + 0

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Agency	Overall Score	Basic + Bonus
Weakest Plans		
Department of Treasury	41/60	41 + 0
Department of Defense	40/60	40 + 0
Office of Management and Budget	35/58	34 + 1
Department of Energy	31/60	31 + 0
Department of Justice	29/60	29 + 0

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To review summaries of selected open government flagship initiatives that Federal departments and agencies are undertaking to make government more transparent, participatory and collaborative, take a look at our fact sheet.

KEY:
- 🟩 Meets Expectations
- 🟨 Progress Toward Expectations
- 🟥 Fails to Meet Expectations

Agency	High-Value Data	Data Integrity	Open Webpage	Public Consultation	Overall Plan	Formulating the Plan	Transparency	Participation	Collaboration	Flagship Initiative
Agency for International Development	🟩	🟩	🟩	🟩	🟨	🟨	🟨	🟩	🟩	🟩
Department of Agriculture	🟩	🟩	🟩	🟩	🟨	🟩	🟨	🟩	🟩	🟩
Department of Energy	🟩	🟩	🟩	🟩	🟩	🟨	🟩	🟩	🟩	🟩
Department of Education	🟩	🟩	🟩	🟩	🟨	🟩	🟩	🟩	🟩	🟩
Department of Commerce	🟩	🟩	🟩	🟩	🟨	🟨	🟩	🟨	🟨	🟩
Department of Defense	🟩	🟩	🟩	🟩	🟨	🟨	🟩	🟩	🟩	🟩
Department of Health and Human Services	🟩	🟩	🟩	🟩	🟩	🟩	🟩	🟩	🟩	🟩
Department of Homeland Security	🟩	🟩	🟩	🟩	🟨	🟨	🟨	🟩	🟩	🟩
Department of Housing and Urban Development	🟩	🟩	🟩	🟩	🟨	🟨	🟩	🟨	🟨	🟩
Department of the Interior	🟩	🟩	🟩	🟩	🟨	🟨	🟨	🟨	🟨	🟩
Department of Justice	🟩	🟩	🟩	🟩	🟨	🟩	🟨	🟨	🟩	🟩
Department of Labor	🟩	🟩	🟩	🟩	🟨	🟩	🟩	🟩	🟨	🟩
Department of State	🟩	🟩	🟩	🟩	🟨	🟨	🟩	🟩	🟨	🟨
Department of Transportation	🟩	🟩	🟩	🟩	🟩	🟨	🟩	🟩	🟩	🟩
Department of the Treasury	🟩	🟩	🟩	🟩	🟨	🟨	🟨	🟩	🟩	🟨
Department of Veterans Affairs	🟩	🟩	🟩	🟩	🟨	🟩	🟨	🟩	🟨	🟩
Environmental Protection Agency	🟩	🟩	🟩	🟩	🟩	🟨	🟩	🟩	🟩	🟩
General Services Administration	🟩	🟩	🟩	🟩	🟨	🟨	🟩	🟩	🟩	🟩
National Aeronautics and Space Administration	🟩	🟩	🟩	🟩	🟩	🟩	🟩	🟩	🟩	🟩
National Science Foundation	🟩	🟩	🟩	🟩	🟨	🟨	🟨	🟨	🟨	🟩
Nuclear Regulatory Commission	🟩	🟩	🟩	🟩	🟨	🟨	🟩	🟨	🟨	🟩
Office of Personnel Management	🟨	🟩	🟩	🟩	🟩	🟩	🟩	🟩	🟩	🟩
Small Business Administration	🟩	🟩	🟩	🟩	🟨	🟩	🟨	🟩	🟩	🟩
Social Security Administration	🟩	🟩	🟩	🟩	🟨	🟩	🟩	🟩	🟩	🟩
Council on Environmental Quality	🟨	🟩	🟩	🟩	🟩	🟩	🟩	🟩	🟨	🟩
Office of Management and Budget	🟩	🟩	🟩	🟩	🟨	🟨	🟩	🟨	🟨	🟩
Office of National Drug Control Policy	🟩	🟩	🟩	🟩	🟩	🟨	🟩	🟨	🟩	🟩
Office of Science and Technology Policy	🟩	🟩	🟩	🟩	🟩	🟨	🟩	🟨	🟩	🟩
Office of the United States Trade Representative	🟩	🟩	🟩	🟩	🟨	🟩	🟨	🟩	🟩	🟩

How SMART Can Help?

❖ OGD requires active engagement of the agency's Senior Management Council (SMART)

➢ senior OGD official shall be SMART participant

❖ Get staff to think about "high-value data" that might be of interest to the public

➢ e.g. SBIR data from ENG

➢ SES "stretch goal"?

❖ ADs and ODs engagement

NSF Flagship Initiative for Open Government

❖ Specifically furthers one or more of NSF's primary strategic goals

  ➢ NSF's strategic plan being updated

❖ Performance measurement: identify a set of specific performance metrics for the flagship initiative that are:

  ➢ executional (process metrics), and

  ➢ strategic (outcome metrics that reflect NSF's strategic goals

❖ Cross-agency benefit: at least one of the initiatives generate intellectual capital, platforms, and/or tools that NSF commits to make readily transferable to other agencies at no cost

NSF Flagship Initiative for Open Government

❖ Zooniverse: study by NSF-supported researchers of an online suite of citizen-science projects to determine the implications of public involvement in large-scale scientific activities: http://www.nsf.gov/discoveries/disc_summ.jsp?cntn_id=116658&org=NSF

➢ The goal of the new study is to develop a new methodology for using citizen science to unlock the potential for deriving knowledge from modern, large data sets.

❖ Science and Technology in America's Reinvestment---Measuring the Effect of Research on Innovation, Competitiveness, and Science (STAR METRICS)

➢ data-driven analytical capability being developed to assess the impact of federal investments in science and engineering education, working with OSTP, NIH and other agencies on the National Science and Technology Council

NSF Flagship Initiative for Open Government

❖ **Ask a Scientist/Engineer**

➢ the public is invited to submit questions via the NSF open government website

➢ the questions are evaluated by a panel of science and education experts and ranked

➢ top 10 questions receive answers from a top scientist or engineer

➢ person submitting the question receives his/her answer via a telephone call from the scientist/engineer and the answer is published on the NSF open government website

Thank You
NSF Open Government Directive Working Group!!

QUESTIONS?