

MEMORANDUM FOR THE CHIEF INFORMATION OFFICERS

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SUBJECT: Progress Report on Implementing the Government Paperwork Elimination Act (GPEA)

This memorandum outlines the procedures agencies should follow to update their GPEA plans in accordance with OMB Memorandum M-00-10, "OMB Procedures and Guidance on Implementing the Government Paperwork Elimination Act" and describes the data to be reported to OMB. This information is due to OMB by October 22, 2001. As the instructions below indicate, OMB has worked with the General Services Administration (GSA) and the CIO Council to facilitate work on this update, through a web-based application that will allow agencies to simply make changes to their existing GPEA plans.

Electronic government is one of the five government-wide efforts in the President's Management Agenda. Effective implementation of GPEA is an essential building block in our collective efforts to move to electronic government.

Background.

The Government Paperwork Elimination Act, P.L. 105-277, was enacted in October of 1998. Under GPEA, agencies must generally provide for the optional use and acceptance of electronic documents and signatures, and electronic recordkeeping when practicable. OMB M-00-10 (<http://www.whitehouse.gov/OMB/memoranda/m00-10.html>) requires that each agency update annually its plan for implementing GPEA and submit to OMB a summary of that plan. On October 31, 2000, your agency provided the first summary. This memo requests this year's update.

As explained in M-00-10, each agency must build on their existing efforts to implement electronic government, prioritize their implementation based on achievability and net benefit, and coordinate the plan and schedule with their strategic IT planning activities to support program responsibilities consistent with the budget process. The information provided in the updated GPEA progress report should demonstrate how the agency is making the transformation to simplified business processes that are citizen-centered and facilitate faster, cheaper, and more efficient operations.

Section 3 of the memorandum describes other factors that agencies should also consider in their planning. Furthermore, guidance on other implementation issues covered by GPEA has been issued by the Departments of Treasury (<http://www.fms.treas.gov/fedreg/eauthpolicy.pdf>), Justice (<http://www.cybercrime.gov/eprocess.htm>), Commerce

(<http://csrc.nist.gov/publications/nistpubs/800-25/sp800-25.pdf>), and the National Archives and Records Administration (<http://www.nara.gov/records/policy/b2001-02.html>).

What transactions must your agency address in its plan?

Under GPEA, agencies must offer, when practicable, an option for the maintenance, submission, or disclosure of information by electronic means by October 2003. In this regard, and to help implement electronic government more broadly, agency plans must address how the agency will simplify and unify business processes in moving to electronic media with respect to the following types of transactions:

- Information collections under the Paperwork Reduction Act (PRA) (Attachment A). Providing for optional electronic reporting, recordkeeping, and disclosure, and related processing of that information will decrease the public's paperwork burden and increase the practical utility of the information provided.
- Non-PRA covered transactions (Attachment B). This includes:
 - Interagency reporting requirements. Electronic reporting between Federal agencies will reduce costs and increase the government's efficiency.
 - Information products that agencies disseminate to the public. Agencies can distribute information more widely, more efficiently, and at a lower cost by making it available electronically.
 - Other transactions. Other transactions important in implementing electronic government should be reported as well. This includes **data capture mechanisms and tools (not covered in attachment A)**, primarily data sharing and transactions between government and business or between government and other levels of government beyond reporting or dissemination

What must your agency provide to OMB?

You must provide the following information by October 22, 2001:

- A memo (sent by e-mail to the address identified below) on your agency's overall strategy and progress in complying with GPEA and achieving electronic government;
- An update of the summary of your agency's plan for GPEA compliance of PRA collections on the cio.gov web site (see Attachment A);
- An update of the summary of your agency's plan for GPEA compliance of interagency reporting, information dissemination activities, and other agency identified transactions on the cio.gov web site (see Attachment B).

What are the changes from last year's requirements?

- Separate reporting on high risk transaction (Attachment C last year) has been eliminated.
- Agencies are to provide their strategy by e-mail, and update their summary of transaction information at the cio.gov web site.
- Three new data elements are to be added to the information to be reported in accordance with Attachments A and B:

1. Customer Group -- identifies whether the transaction is primarily with citizens (C), businesses (B), other state or local governments (G), or within the Federal government - between agencies - (I). This designation is being added to more clearly associate the work underway with customer groups that will benefit and to align GPEA with the Administration's citizen-centered focus of E-Government.

2. Unique Project ID -- The IT budget project number (as defined in OMB Circular A-11, section 300 and exhibit 53) for the information system of which this transaction is a part. Each major or significant (and some small systems) have a Unique Project ID. All other IT systems are rolled up under a single Unique Project ID. It is being added to tie the GPEA plans more closely with the Budget process.

3. Transformation Status -- is an indication of whether the project primarily supports electronic forms only (e.g. fillable on-line forms); electronic transactions (e.g., web services beyond electronic forms); process streamlining (e.g. electronic transactions tied to a re-engineered process); or to unify organizations or information technology (e.g., one stop shopping, one stop benefits, etc. across organizations). It is being added to demonstrate how closely the GPEA activities are tied to transformational E-Government.

What issues should your strategy memo address?

1. Summarize your agency's strategy for meeting the GPEA deadline, and how that is being integrated into its overall plan for transforming your agency to achieve electronic government. In your summary please address:
 - What are your plans for addressing Government to Citizen transactions?
 - What are your plans for addressing Government to Business transactions?
 - What are your plans for addressing transactions with other Governments?
 - What are your plans to address internal efficiencies within your agency and transactions within the Federal government?
2. How is your work to implement GPEA and electronic government related to your agency's on-going work to develop and maintain an enterprise architecture?
 - What efforts are underway to implement customer relationship management (including convergence of on-line and physical citizen interaction and including accessibility standards)?
 - What efforts are underway to implement supply chain management?
 - What efforts are underway to implement enterprise information management?
3. How are you using information technology and on-line processes to unify and simplify transactions?
4. What methods are you using to ensure the most beneficial projects are prioritized for implementation?
 - Which initiatives appear to have the highest net benefit and why? Which initiatives are not practicable and why?
 - What cross-cutting barriers to implementation have you identified?
5. Are any of your priority projects behind schedule? What actions are you taking to assure that they are completed on time?

How should your agency's plan relate to strategic IT planning in the budget process?

Resources to implement the plan should have been included in your agency's budget request submitted this Fall in accordance with OMB Circular A-11. To assist with the cross walk between the GPEA planning information and the budget, this year we are asking you to provide the Unique Project IDs from the A-11 budget request in the information reported on each transaction (see appendices A and B).

How should the CIO provide this information to OMB? To report Attachment A and Attachment B information, OMB and GSA are providing on-line tables for agencies to update via the web. Agencies will only have access to their own information. The tables will be available through the Chief Information Officer's (CIO) homepage, located at <http://cio.gov>.

GSA will provide a secure login procedure for each agency and specific instruction for operation. First, agencies must forward the name, e-mail address, phone number, and organization of individuals you wish to have enter GPEA data into the on-line database in an e-mail to ciocouncil.support@gsa.gov. Also, if any of your agency or bureau names have changed since last year, provide the previous name and the new name in your e-mail. Then GSA will send you the exact URL, login information, and instructions for operation.

The strategy memo should be e-mailed to: Nancy_B._Sternberg@omb.eop.gov

Whom should you contact for further information? Should you have any questions regarding Internet reporting, please contact Nora Rice at GSA by phone at (202) 501-0781 or e-mail at nora.rice@gsa.gov.

If you have any other questions regarding this memorandum, please contact Nancy Sternberg in OIRA at (202) 395-3787.

Attachments

Attachment A – Collections of Information under the Paperwork Reduction Act (PRA).

What is the purpose of this Attachment? This Attachment explains what information your agency must submit regarding plans for providing a fully electronic option for transactions that are part of the information collection process, consistent with OMB Memorandum M-00-10 on implementing GPEA. Under the Paperwork Reduction Act (PRA, 44 U.S.C. 3501-20), a collection of information is:

“the obtaining, causing to be obtained, soliciting, or requiring the disclosure to an agency, third parties or the public of information by or for an agency by means of identical questions posed to, or identical reporting, recordkeeping, or disclosure requirements imposed on, ten or more persons, whether such collection of information is mandatory, voluntary, or required to obtain or retain a benefit.” (5 C.F.R. 1320.4)

In providing an electronic option by October 2003, you will need to assess the practicability of optional electronic reporting and further electronic correspondence with the respondents for its collections of information that require OMB approval. If you determine that optional electronic reporting and/or electronic communication with the respondents is not practicable, you must explain why to OMB in the appropriate column.

Your plan should focus on its recurring information collections. You do not need to address one-time, non-recurring collections (e.g., a one-time research survey) in the plans your agency submits to OMB.

For tracking purposes you should report (or not eliminate) any transactions that were not completed as of October 31, 2000, when reports were first requested.

Does OMB have information on PRA collections that already have been automated?

Your agency does not need to report existing fully electronic transactions in the table as of October 31, 2000. A fully electronic option for a PRA collection is one that has no compulsory paper-based reporting requirements, signatures, correspondence, or dissemination to or with the respondents. You can access OMB’s listing of all currently approved collections at <http://www.whitehouse.gov/library/omb/OMBINV.html>.

What does your agency need to report in Attachment A? Submit the following information as a separate electronic file and in tabular format.

- 1. Agency:** The name of the Federal department or agency responsible for the collection.
- 2. Bureau:** The name of the bureau or office responsible for the collection. If none exists, or if the transaction spans more than one bureau, leave this field blank.
- 3. Name:** The name of the collection (or group of related collections). As appropriate you may report related collections together as one record in the table below. For example, if three forms are required to apply for and receive a grant from your agency, you may report all three collections together. This is especially useful to demonstrate how automation can help to provide customer-centric approaches to electronic government that integrate discrete collections. As another example, if a specific reporting requirement in a

regulation requires four different submissions of related information you may report those collections together.

Further, you may list separate groups of related collections as one record in the table if they are functionally similar and will be automated together on-line in the same time frame. For example, if your agency has multiple grants with multiple applications and all the applications will be put on-line at the same time, then the “application for agency grants in program area X” may be aggregated as one collection category.

- 4. Description:** A short description of the nature of the collection(s). Please be brief.
- 5a. Customer Group:** Even though other groups may apply, classify the transaction as primarily: government to business, government to citizen (includes all individuals, even non-citizens), government to government (includes foreign, state, territorial, local, and tribal governments, and all nonprofit organizations), or internal federal government work between agencies.
- 5b. Description of Respondents:** Give more detail to the question above by providing the specific respondents to the collection(s). Use any of the following categories that most closely describe the respondents in all the groups that apply (i.e. even if you chose government to business, for example, in the question above you may choose from any of the other three categories as well). **Business:** financial institutions, federal contractors, health care providers, businesses, employers, farms, other food industry, manufacturers, ship/boat industry, and fire arms dealers. **Citizen:** households, individuals, employees, students, retirees, fishermen, and landowners. **Government:** State governments, local governments, tribal government, universities, schools, nonprofit institutions, law enforcement, and labor unions. **Internal:** federal employees or federal employee benefit recipients and federal agencies. If there are additional respondents that do not fit into the above categories use “other.”
- 7. Number of Respondents:** A numerical estimate of the total number of separate persons or entities that will respond to the information collections listed in #8 below.
- 8. OMB Control Numbers:** Provide the collections’ OMB PRA control number(s), separated by a comma and a space if there is more than one (i.e., 0354-0123, 0354-0143, 0354-0432, etc.). Some groups of collections may have more than one control number, and these may be reported as one entry with multiple OMB control numbers. Conversely, a control number may cover a number of separate collections; thus, a single OMB control number may be repeated.
- 9. Unique Project ID:** Provide the unique ID number for the information system (as defined by OMB circular A-11 in section 300 and exhibit 53) into which the information collected under transaction is contained or put. Each major or significant (and some small systems) have a Unique Project ID. All other IT systems are rolled up under a single Unique Project ID.
- 10. Transformation Status:** Commonly the level of transformation produced by electronic government projects can be described by specific stages. Indicate which of the following most closely describes the transformation stage the transaction is in as follows: electronic forms only (e.g. fill-able on-line forms); electronic transactions (e.g., web services beyond electronic forms); process streamlining (e.g. electronic transactions tied to a re-engineered process); or to unify organizations or information technology (e.g., one stop shopping, one stop benefits, etc. across organizations).

- 11. Completion Date:** Indicate when your agency will offer a fully electronic reporting option for the collection(s) in question (format: mm/yyyy). If there are no current plans for a fully electronic option, indicate “Unknown”.
- 12. Post 10/2003:** If the date in the Completion Date field is “Unknown” or later than 10/2003, describe in 1-2 sentences Identify any statutory, practicability, or other barriers. If the date is 10/2003 or earlier then leave this field blank.
- 13. Electronic Signature:** Indicate whether the agency plans to use electronic signatures with this collection(s) (“ YES”/”NO”). For guidance on electronic signatures, see Part II, Section 2 and 7, of OMB Memorandum M-00-10.

Attachment B – Interagency Reporting Requirements

What is the purpose of this Attachment? This Attachment explains what information your agency must submit regarding its plans for offering an electronic option for interagency reporting, information dissemination activities, and other agency-identified transactions, consistent with OMB Memorandum M-00-10 on implementing GPEA.

- Interagency reporting encompasses ongoing, periodic reports among agencies. Examples of interagency reporting are the exchange of personnel and payroll reports between agencies or the annual reporting of information to another agency.
- Information dissemination activities refer to the dissemination of “information dissemination products,” publications that are intended for the general public. OMB guidance on “information dissemination products” can be found in Circular A-130, Sections 6.c, 6.h, 8.a(5), 8.a(6), and 8.a(8). An example of an “information dissemination product” is the ongoing and periodic release of labor statistics.
- Agency-identified transactions are any other transactions that your agency believes are important to address and that are not captured elsewhere in the plan.

Fully electronic transactions as of October 31, 2000 do not need to be reported in this table. If your agency already fully reported (or receives if an interagency reporting requirement is from your agency) in an electronic form as of the above date, you do not need to identify that transaction in your plans. For tracking purposes you should report (or not eliminate) any transactions that were not completed as of October 31, 2000, when reports were first requested.

What does your agency need to report in this section? Submit the following information as a separate electronic file and in tabular format.

- 1. Agency:** The name of the Federal department or agency responsible for the reporting or dissemination products.
- 2. Bureau:** The name of the bureau or office responsible for the report or dissemination. If none exists, or if the report or dissemination product spans more than one bureau, leave this field blank.
- 3. Name:** The name of the interagency report or information dissemination product (or group of similar reports or products). You may report on categories of similar reports or dissemination products instead of specific reports or dissemination products if the reports or products are functionally similar and would be automated together on-line in the same time frame.
- 4. Description:** A short description of the interagency report or information dissemination product (or groups of reports or products). Please be brief.
- 5a. Customer Group:** Even though other groups may apply, classify the interagency report or information dissemination product listing all the groups that apply: Government to business, Government to citizen (includes all individuals, even non-citizens), Government to government (includes foreign, state, territorial, local, and tribal governments, and all non-profit organizations), or internal federal government work.
- 5b. Description of Partners:** Provide more detail on the Federal agencies or Dissemination product users than the question above. For an interagency report, indicate which Federal agencies submit reports to the agency listed in #1 above, or if interagency forms are used

(e.g. personnel information) for administrative tasks simply put “Federal Agencies.” For information dissemination, describe who receives the information dissemination product. Use any of the following categories that most closely describe the dissemination receivers (i.e. even if you chose government to business, for example, in the question above you may choose from any of the other three categories as well). **Business**: financial institutions, federal contractors, health care providers, businesses, employers, farms, other food industry, manufacturers, ship/boat industry, and fire arms dealers. **Citizen**: households, individuals, employees, students, retirees, fishermen, and landowners. **Government**: State governments, local governments, tribal government, universities, schools, nonprofit institutions, law enforcement, and labor unions. **Internal**: federal employees or federal employee benefit recipients and federal agencies. If there are additional dissemination receivers that do not fit into the above categories use “other.”

- 7. Number of Respondents**: A rough numerical estimate of the number of separate agencies, persons, or entities described in #6 above.
- 8. Unique Project ID**: Provide the unique ID number for the information system (as defined by OMB circular A-11 in section 300 and exhibit 53) into which the information collected under transaction is contained, put, or assembled. Each major or significant (and some small systems) have a Unique Project ID. All other IT systems are rolled up under a single Unique Project ID.
- 9. Transformation Status**: Commonly the level of transformation produced by electronic government projects can be described by specific stages. Indicate which of the following most closely describes the transformation stage the transaction is in as follows: electronic forms only (e.g. fill-able on-line forms); electronic transactions (e.g., web services beyond electronic forms); process streamlining (e.g. electronic transactions tied to a re-engineered process); or to unify organizations or information technology (e.g., one stop shopping, one stop benefits, etc. across organizations).
- 10. Completion Date**: Indicate when the reports or products will offer a fully electronic reporting or dissemination option (format: mm/yyyy). If there are no current plans for a fully electronic option, indicate “Unknown”.
- 11. Post 10/2003**: If the date in the Completion Date field is “Unknown” or later than 10/2003, describe in 1-2 sentences why it is not practicable to automate the transaction by 10/2003. Identify any statutory, practicability, or other barriers. If the date is 10/2003 or earlier then leave this field blank.
- 12. Electronic Signature**: Indicate whether the agency plans to use electronic signatures with this transaction(s) (“ YES”/”NO”). For guidance on electronic signatures, see Part II, Sections 2 and 7, of OMB Memorandum M-00-10.