

August 9, 2002

MEMORANDUM FOR CHIEF INFORMATION OFFICERS

FROM: Mark Forman
Associate Director for Information Technology and E-Government

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

The President's Management Agenda calls for better use of IT in making the federal government more citizen-centered and results oriented. Opportunities abound to save money by taking advantage of the economies of scale offered by today's information technology, licensing agreements, and open standards. Moreover, making government simpler and easier for citizens requires integration of redundant IT and business process improvement efforts.

Effective implementation of GPEA is an essential building block in our collective efforts to move to the President's vision of electronic government. Early GPEA implementation entailed e-mail and public dissemination of information on web-sites. Effective GPEA implementation today requires business process reengineering and partnering among agencies rather than merely web-enabling existing transactions. With thousands of like transactions across the federal government, a fundamental principle of GPEA planning and implementation must be to collect information once and use it many times. Agencies are expected to analyze every GPEA transaction for innovative ways to serve citizens and improve government performance. This can be achieved through deletion and synthesis of forms, process streamlining, and intra- and inter-agency one-stop shopping for information dissemination, benefits, and interactive business transactions.

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 by September 23, 2002. Background information and a discussion regarding the reporting requirements for Paperwork Reduction Act (PRA) and non-PRA transactions is attached for your information.

What should be provided to OMB?

- A memo of your agency's progress in complying with GPEA and achieving e-government;
- An update of your agency's plan; and
- A statistical report of your agency's progress.

What are the changes from last year's requirements?

OMB has worked with the General Services Administration (GSA) and the CIO Council to facilitate submission of the plan update through a Microsoft (MS) Access template that allows agencies to enter, report, and analyze their data easily and accurately. This year's process enables agencies to meet the September 23 deadline and to update and track progress throughout this critical final year to the October 2003 goal of full GPEA implementation.

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- Agencies are to provide their GPEA plans directly via email to the addressees listed below using the MS Access template provided--not via the cio.gov web site. The attached **2002 GPEA Data Collection Tool** includes an entry form, "Transaction Manager," and a set of reporting queries, "Report Manager," which will automatically create a statistical report of your agency's progress. Also attached is the **2002 GPEA Data Collection Tool User Guide** that provides the data dictionary and other instructions as well as special guidance for large agencies that consist of multiple bureaus or components.
- To align GPEA transactions to the E-Government initiatives, last year's transaction status data element, "Unification," is divided into inter-agency and intra-agency categories, and a new "E-Gov Initiatives" data element is added.
- A new prompt is added to enter the total number of active PRA collections from the <http://www.whitehouse.gov/omb/library/OMBINV.html> so a percentage can be calculated of PRA collections affected by the GPEA plan.

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

To assist with the cross walk between the GPEA planning information and budget submissions, we are again asking you to provide the Unique Project IDs from Exhibit 53, Capital Asset Plans, in the information reported on each transaction. Agencies' GPEA progress reports will be forwarded to respective OMB Resource Management Offices and Office of Information and Regulatory Affairs Desk Officers and Information Policy & Technology analysts.

What issues should your strategy memo address?

This year's strategy memo should demonstrate progress during the last year.

- Based on the results generated by the "Report Manager," provide a brief synopsis of the Agency's progress in complying with GPEA. Discuss how the agency's progress relates to its overall E-government strategy and to the administration's E-Government Strategy, <http://www.whitehouse.gov/omb/inforeg/egovstrategy.pdf>.
- Based on analysis and implementation efforts since the 2001 report,
 - identify new agency and cross-agency initiatives that demonstrate an order of magnitude increase in net benefit and discuss why.
 - identify initiatives previously considered not practicable that have been reconsidered and planned for meeting the October 2003 deadline and discuss any initiatives that are now considered not practicable and why.

- identify any of your priority projects that are behind schedule. Discuss why and what actions are being taken (and specifically by whom) to assure that they are completed on time.

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How should the CIO provide this information to OMB?

Please e-mail the strategy memo and completed **2002 GPEA Data Collection Tool** (one per agency) to jzeiher@omb.eop.gov and GPEA2002@gsa.gov.

If you have not done so already, please provide immediately the name of your Agency's GPEA point of contact via e-mail to GPEA2002@gsa.gov.

Any questions regarding the use of the MS Access **2002 GPEA Data Collection Tool** should be addressed to GPEA2002@gsa.gov or by calling (202) 219-0893. If you have questions regarding this memorandum, please contact Jacqueline Zeiher in OIRA at (202) 395-4638.

Government Paperwork and Elimination Act **Background and Summary of Reporting Requirements**

Background

The Government Paperwork Elimination Act, P.L. 105-277, was enacted in October of 1998. Under GPEA, agencies must offer by October 2003 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>, provides guidance for GPEA implementation and requires that each agency updates annually its plan for implementing GPEA and submit to OMB a summary of that plan. 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. Furthermore, guidance on other implementation issues covered by GPEA has been issued by:

- Department of Treasury (<http://www.fms.treas.gov/eauth/index.html>),
- Department of Justice (<http://www.cybercrime.gov/eprocess.htm>),
- Department of Commerce (<http://csrc.nist.gov/publications/nistpubs/800-25/sp800-25.doc>), and
- National Archives and Records Administration (http://www.archives.gov/records_management/policy_and_guidance/electronic_signature_technology.html)

What transactions must your agency address?

Agencies must address how they will simplify and unify business processes in moving to electronic media with respect to:

- Information collections under the Paperwork Reduction Act (PRA). 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. 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)

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/omb/library/OMBINV.html>.

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.

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.

- Non-PRA covered transactions. This includes:
 - Interagency reporting requirements. Electronic reporting between Federal agencies will reduce costs and increase the government's efficiency. Interagency reporting encompasses ongoing, periodic reports among agencies. An example of interagency reporting is the exchange of personnel and payroll reports between agencies.
 - 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. 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.
- Other transactions. Other Agency-identified transactions that the agency believes are important in implementing electronic government that are not captured elsewhere in the plan should be reported as well. This includes data capture mechanisms and tools that primarily promote data sharing and transactions between government and business or between government and other levels of government beyond reporting or dissemination.

Should you include transactions that were completed prior to October 31, 2000?

Agencies need not report electronic transactions already in existence on October 31, 2000, when GPEA plan reporting began. Agencies should report (or not eliminate) any transactions that began prior to but not completed as of October 31, 2000, when GPEA plan reporting began.

Transactions that had been made electronic prior to October 31, 2000, but have now been re-engineered to a higher level of electronic transformation since October 31, 2000, should be reported as a new transaction. For example, a downloadable and printable form provided prior to October 31, 2000, would not be included, but the subsequent upgrading (or planned upgrade) of that form to a web-enabled transaction would be. Likewise, if information dissemination via e-mail was in place prior to October 31, 2000, it would not be included in your plan. However, if since October 31, 2000, it has been or will be disseminated on a web-site, the web enabling activity is a reportable transaction.