

eRulemaking Initiative

Federal Depository Library Conference

October 22, 2003

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eRulemaking Initiative

Overview

- ◆ **President's Management Agenda**
 - Vision and Principles
 - Projects
- ◆ **E-Government Act 2002**
- ◆ **eRulemaking**
 - Key Program Objectives
 - Scope / Partners
 - Project Plan
 - Modules
 - Oversight and organizational structure
 - Milestones
 - Lessons Learned
 - Contact

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President's Management Agenda (PMA)

"...government needs to reform its operations - how it goes about its business and how it treats the people it serves."

President George W. Bush

Principles:

- ◆ Citizen-centered, not bureaucracy-centered
- ◆ Results-oriented
- ◆ Market-based, actively promoting innovation



President's Management Agenda (PMA)

Five Components:

- ◆ Competitive Sourcing
- ◆ Financial Management
- ◆ Human Capital
- ◆ Budget and Performance Integration
- ◆ Expanding Electronic Government



PMA: Expanding Electronic Government

Vision:

- ◆ Order of magnitude improvement in the government's value to the citizen.

Goals:

- ◆ Citizens can easily obtain service and interact with government
- ◆ Improved government efficiency and effectiveness
- ◆ Improved government responsiveness to citizens



PMA: e-Gov 24 Projects

- ◆ USA Services
- ◆ EZ Tax Filing
- ◆ Online Access for Loans
- ◆ Recreation One Stop
- ◆ Eligibility Assistance Online
- ◆ eRulemaking
- ◆ Simplified and Unified Tax and Wage Reporting
- ◆ Consolidated Health Informatics
- ◆ International Trade Process Streamlining
- ◆ e-Vital



E-Government Act of 2002

- ◆ **Authorizes the PMA Expanding E-Government Initiatives**
 - Section 206 is the online rulemaking provision
- ◆ **All agencies are expected to:**
 - Make their public regulatory dockets electronically accessible and searchable via the eRulemaking Initiative (regulations.gov.)
 - Accept electronic submissions to the online dockets
- ◆ **OMB plans to issue a timeline for agency compliance**
- ◆ **Implementation guidance for the E-Gov Act issued on August 1, 2003**



eRulemaking Initiative

Vision: Citizens can easily access and participate in a high quality, efficient and open rulemaking process

Goals

- ◆ Provide easy and consistent way for public to search, view, and comment on proposed federal rules
- ◆ Create centralized federal government docket system
- ◆ Build a seamless, integrated, unified, and cost-effective regulatory management system



Scope / Partners

Scope: More than 150 federal entities (e.g., Cabinet Departments, Independent Agencies, Boards, Commissions) enact rules

Partner Agencies

- ◆ EPA – lead partner
- ◆ Federal Communication Commission
- ◆ General Services Administration
- ◆ Government Printing Office
- ◆ Health and Human Services
- ◆ Housing and Urban Development
- ◆ Agriculture
- ◆ Defense
- ◆ Justice
- ◆ Labor
- ◆ National Archives
- ◆ Transportation

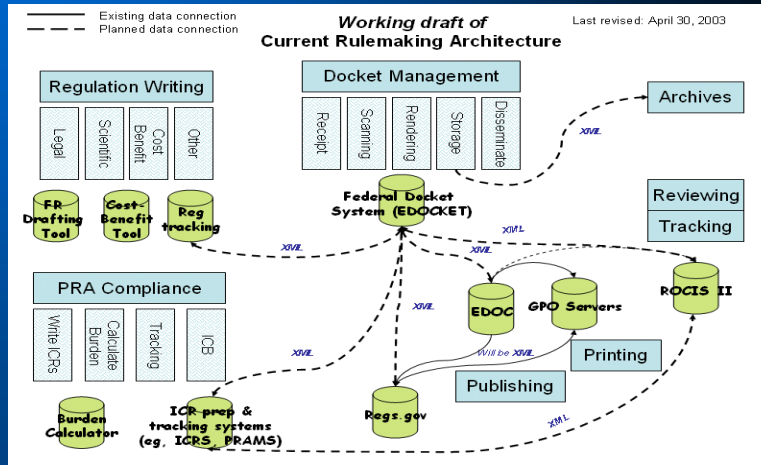


Project Plan

- ◆ **Effort organized into three components**
 - **Module 1:** www.regulations.gov (Portal to find, retrieve, view, and comment on federal regulations)
 - **Module 2: Federal Docket Management System** (based on EPA's EDOCKET system)
 - **Module 3: Virtual Workspace and standardized processes for rulemaking**
- ◆ **Collaborative approach**
- ◆ **Executive Committee and Advisory Board** provide enterprise-wide oversight
- ◆ **Workgroups:** Records Management, Acquisition, Budget, Business Process Re-engineering, Legal & Policy, Module 1, Module 2, Module 3, and XML



Conceptual Architecture

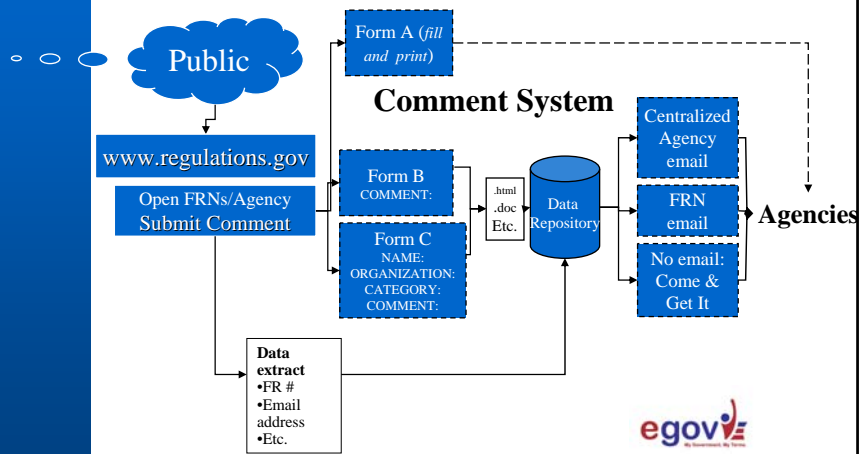


Module 1 – www.regulations.gov

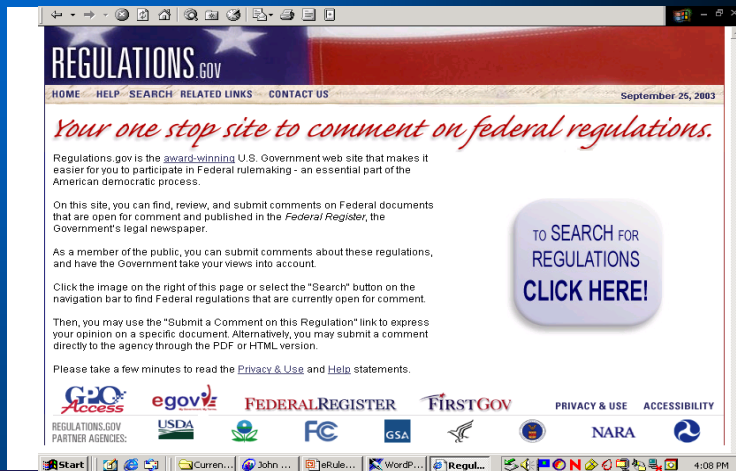
- ◆ **Single portal on federal rules (find, search, comment)**
- ◆ **Shared application**
 - “Front-end” (Rule posting application)
 - Developed by National Archives and Records Administration
 - Hosted by Government Printing Office
 - Uses existing information systems at GPO and NARA/OFR
 - Full-text search across all proposed Federal rulemakings (by agency & keyword)
 - Posts PDF and HTML versions of rules
 - “Back-end” (Comment application)
 - Developed by Food and Drug Administration
 - Enhanced and hosted by EPA
- ◆ **Early success since January 23 launch**
 - Usage statistics: 1.5+ million total hits (8,000 per day), 160,000 unique visitors
 - GPOAccess Helpdesk comments: majority are positive
 - Awards: eGov Pioneer, FOSE Showcase of Excellence finalist, Secure EBiz, Colborn Award



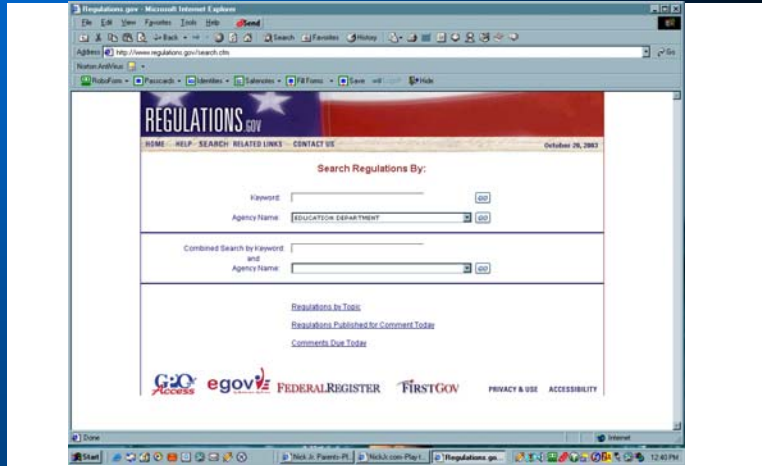
Module 1 – www.regulations.gov Data Flow



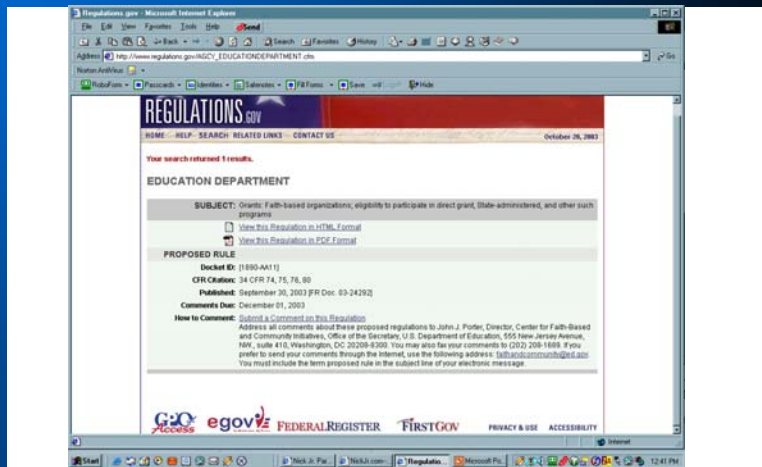
Module 1 – www.Regulations.gov Home Page



Module 1 – www.Regulations.gov Search Page



Module 1 – www.Regulations.gov Search Results



Module 1 – www.Regulations.gov Comment Form

You may use this electronic form to submit a comment on this rulemaking directly. Comments should be submitted in accordance with the directions in the Federal Register document for the rule you are commenting on. For further information, follow directions in the specific Federal Register document or contact this agency directly.

Title: Mr. First Name: Last Name: []

Organization Name: []

Mailing Address: []

City: [] State: [choose state] Postal Code: []

Province*: [] Country: [UNITED STATES]

Comment: []

Remaining characters: 4000

Continue Clear Cancel/Exit

Module 2 - **Federal Docket Management System Model**

Module 2 based on EPA's EDOCKET system

EDOCKET

- ◆ Launched on May 31, 2002 for EPA Headquarters Program Offices (*Office of Water, Office of Air and Radiation, etc.*)
- ◆ Being expanded to include regional materials
- ◆ Assessed as closest to ideal federal-wide system by an independent evaluator using agreed upon criteria
- ◆ Recognition:
 - 2003 eGov Trailblazer award
 - Grace Hopper award finalist



Module 2 - **Federal Docket Management System** Attributes

- ◆ **Designed using Commercial-Off-the-Shelf Technology, configured for online docket management**
 - Documentum (document management application)
 - Input Accel (document capture)
 - Oracle (database management)
- ◆ **Image- and text-based system**
- ◆ **Sophisticated search capabilities**
 - Full-text
 - Boolean
- ◆ **Technical features include:**
 - Inter-operability with other systems
 - Scalability to accommodate a large number of users
 - Security / access control
 - Utilize XML and workflow management



Module 2 - **Federal Docket Management System** Capabilities

- ◆ 24/7 Internet access for the public to search, retrieve, submit comments on dockets
- ◆ Sophisticated data entry, workflow processing and tracking, and records management of docket materials
- ◆ Configured specifically for and integrated with large-scale docket processing operations
 - Scanning of paper to render into electronic format
- ◆ Handle minimum 10,000 simultaneous users and unlimited documents in a collection
- ◆ Compliance with Section 508 and other government regulations



Module 2 - **Federal Docket Management System** Scope of Documents

System will include:

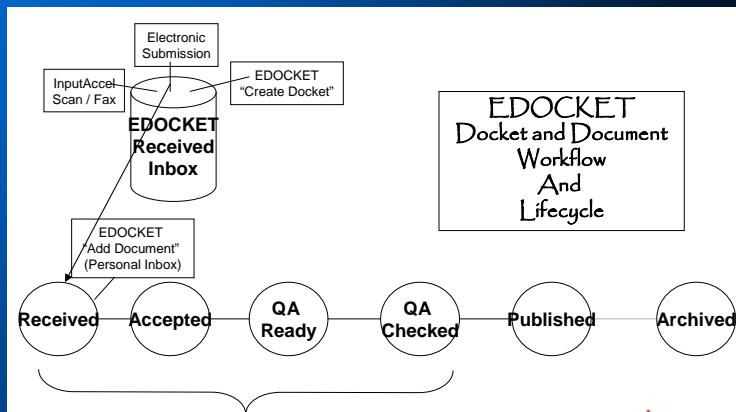
- ◆ **Rules (proposed and final)**
- ◆ **General notices**
 - information collection requests, meeting notices, public hearings, grant announcements, etc.
- ◆ **Supporting materials**
 - supporting analyses, public comments etc.
- ◆ **Miscellaneous materials**
 - Adjudications, appeals, orders, information quality guidelines, etc.

System will not include:

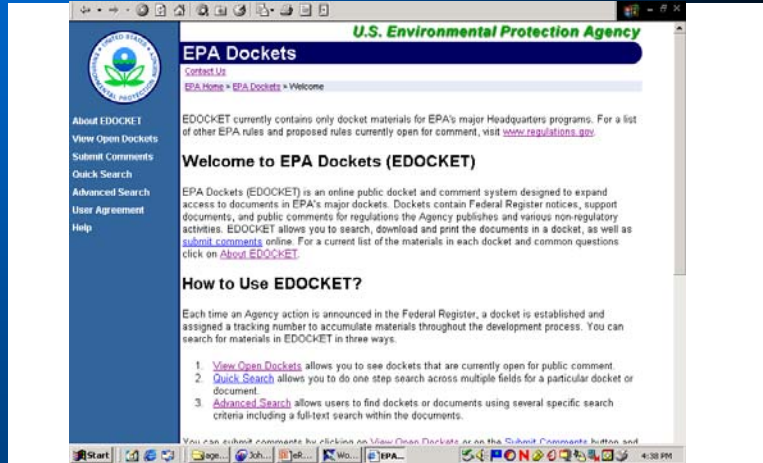
- ◆ Freedom of Information Act (FOIA)
- ◆ Controlled correspondence



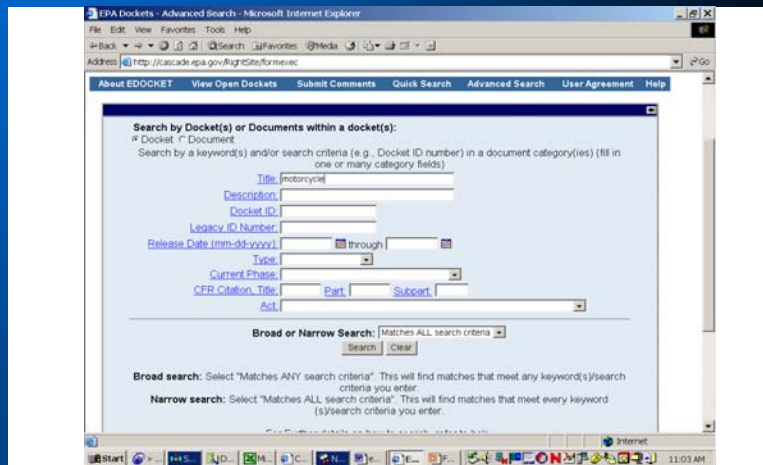
Module 2: **EDOCKET** Workflow Overview



Module 2 – **EDOCKET System** Example Home Page

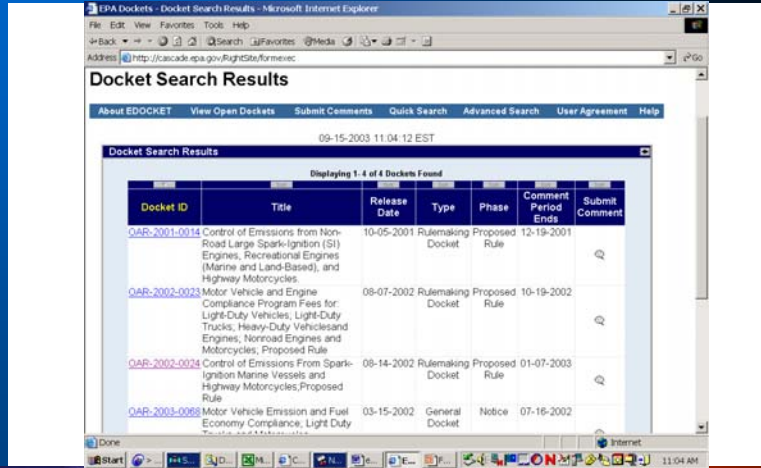


Module 2 – **EDOCKET System** Example Search Screen



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Module 2 – EDOCKET System Example Docket Results

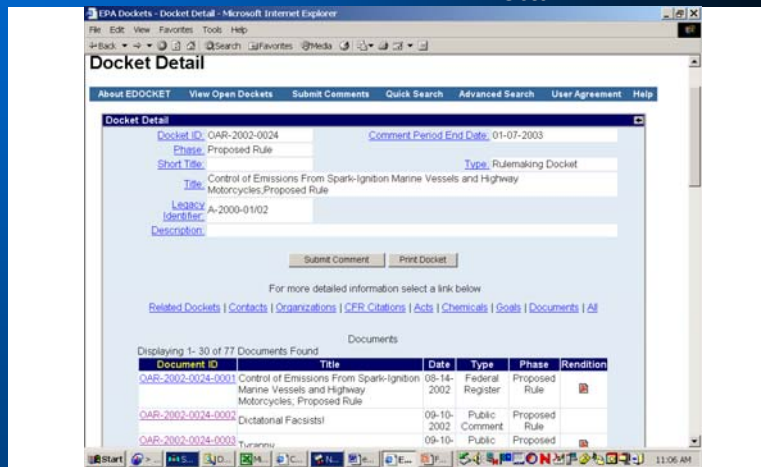


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Module 2 – EDOCKET System Example Docket Detail



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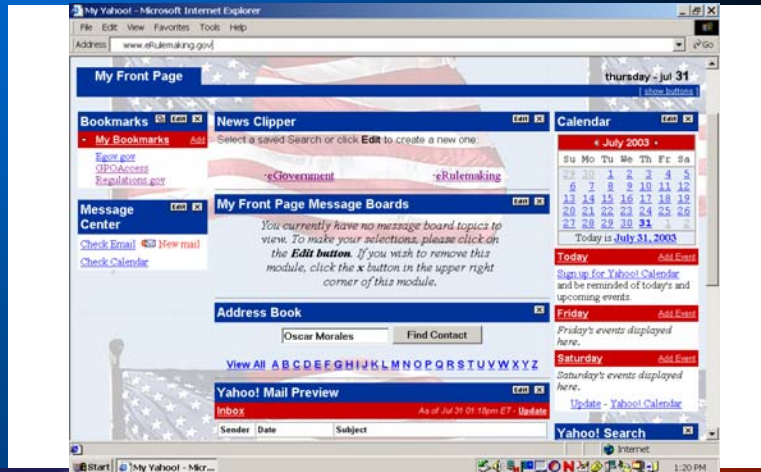
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- ◆ Define agency regulatory processes and requirements
- ◆ Develop electronic review and submission process
- ◆ Identify expert tools to assist in:
 - Analysis and decision making
 - eRecords and document management
 - Knowledge Management



Module 3 – Virtual Workspace for Regulation Writers
Example

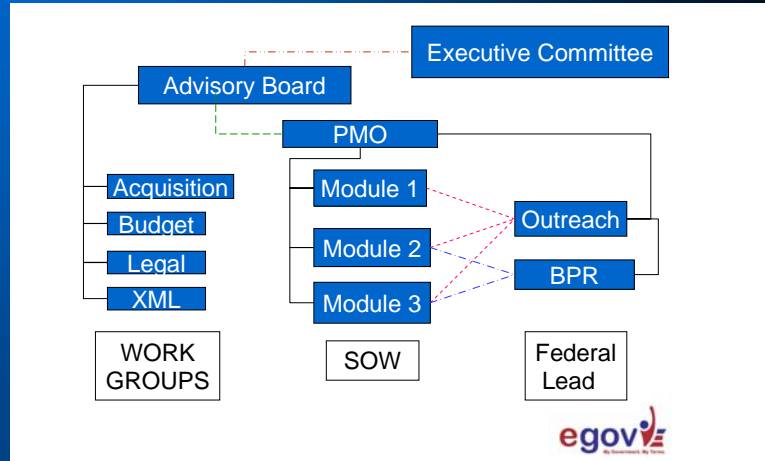


Proposed – Federal Docket Service Center

- ◆ Operated by GPO
- ◆ Support multiple federal agencies
- ◆ Services:
 - On-site docket processing
 - Public reading room
 - Long-term storage for paper, microform, and other tangible items
 - Implementation of archival schedules



Organizational Structure



Milestones

- ◆ 18 December 2002 Soft Launch of Regulations.gov
- ◆ 23 January 2003 Formal Launch of Regulations.gov
- ◆ January 2003 Resubmittal of Business Case to OMB
- ◆ February 2003 Project Management Office Staffed
- ◆ March 2003 PMO and Workgroups formed
- ◆ March 2003 Business Process Reengineering Begins, FOSE
- ◆ April 2003
- ◆ April/May 2003 Resources from other agencies arrive
- ◆ June 2003 Move to Vermont Ave, eGov Conference
- ◆ September 2003 Acquisition completed

Results that Benefit the Public

- ◆ One stop portal to search, read, and print all federal regulatory material
- ◆ Status of each regulation, docket or rule
- ◆ Ability to electronically file comments
- ◆ Ability to search, read and print all supporting documents (including comments)
- ◆ Listserv for businesses and citizens
- ◆ Improve the quality of decisions



Results that Benefit the Government

- ◆ Transform the entire federal rulemaking process
- ◆ Ability to efficiently analyze and aggregate public comments
- ◆ Provide electronic desktop support to regulation writers / managers
- ◆ Ability to maintain a web-based regulatory and comment dialogue with the public
- ◆ Central intake point and repository for all public comments.



Lessons Learned to Date

- ◆ **Communication and coordination across so many agencies is an immense challenge**
- ◆ **Not a technical problem/solution**
- ◆ **Lack of data will undermine any worthwhile endeavor**
- ◆ **Huge differences among agency practices**
 - Business practices and workload
 - Electronic vs. non-electronic dockets
 - Variety of underlying statutory requirements



Contact

For additional information, contact:

Oscar Morales
Director of the eRulemaking Initiative
Office of Environmental Information
Environmental Protection Agency
202-632-0331
Morales.Oscar@epa.gov

