

Current Issues in the Development of Cross-Agency Governance

Professor Jane E. Fountain

Director, National Center for Digital Government

Professor of Political Science and Public Policy,

University of Massachusetts Amherst



We are building knowledge societies

E-Government: the use of digital technologies to transform government operations.

Necessary but not sufficient.

Governments are **knowledge organizations**, not simply operations.



The National Center for Digital Government

- Supported by the National Science Foundation
- Mission: research, outreach, education
- Build a global network of researchers in technology and governance
- Advance the social and policy sciences to better account for ICTs in governance

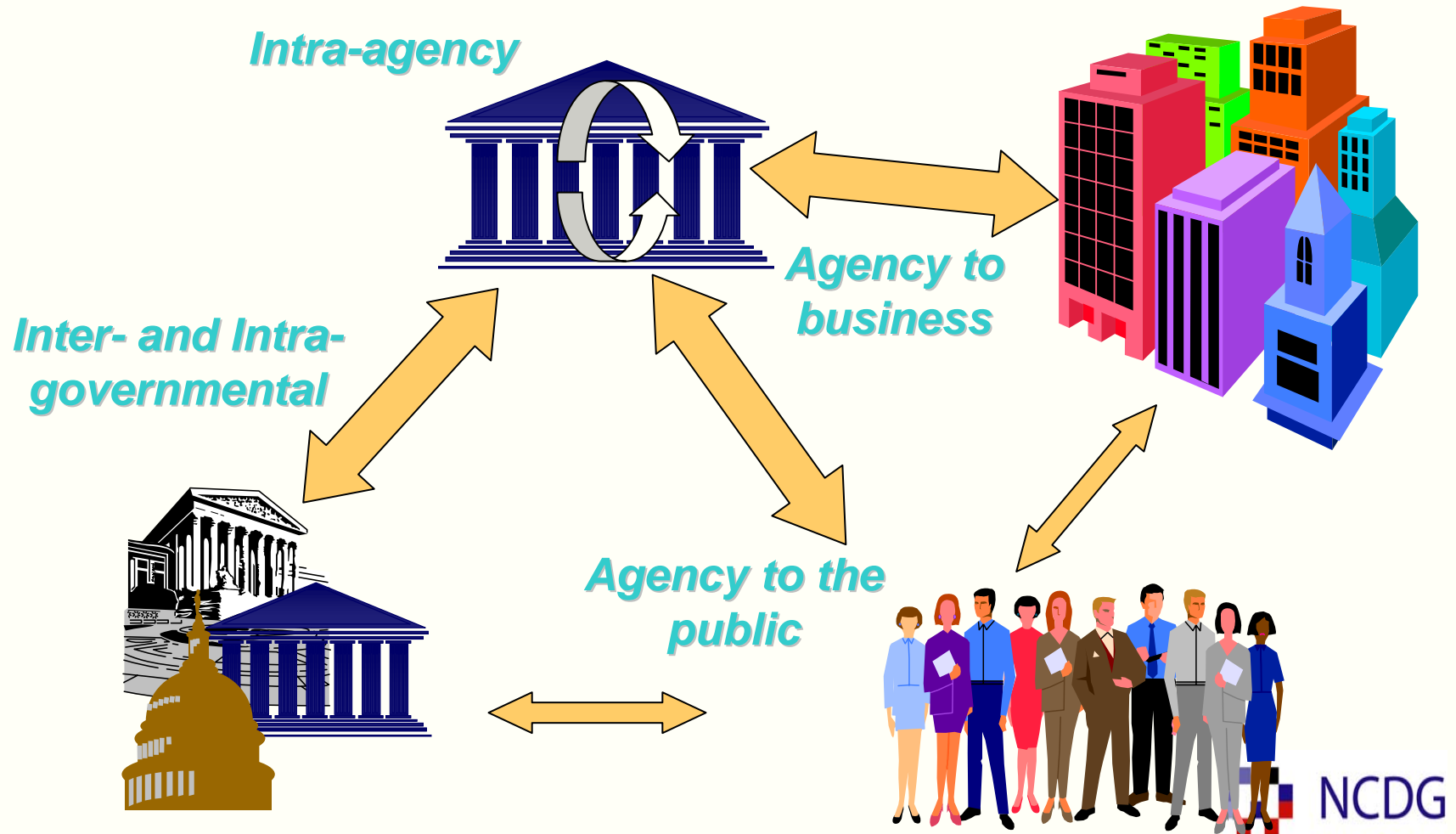


National Center Collaborations

- **Within University of Massachusetts Amherst**
 - Center for Public Policy and Administration
 - Center for Information Technology and Dispute Resolution
 - Electronic Enterprise Institute
 - Open Source Computing Laboratory
 - College of Social and Behavioral Sciences
 - College of Natural Resources and Economics
 - College of Natural Science and Mathematics
- **Within Harvard University**
 - Institute for Quantitative Social Science
 - Center for Business and Government
 - Taubman Center
 - Ash Institute
- **With Other Universities**
 - University of California
 - Ohio State University
 - MIT
 - ETH-Zurich
 - University of Amsterdam
 - University of Tokyo
- **With Nonprofits**
 - Congressional Management Foundation
- **With Government Organizations**
 - OMB Office of IT and EGovt
 - Presidential Management Initiative 25 cross-agency egovt projects
 - DNA laboratories
 - Cte on House Administration (for CTC)

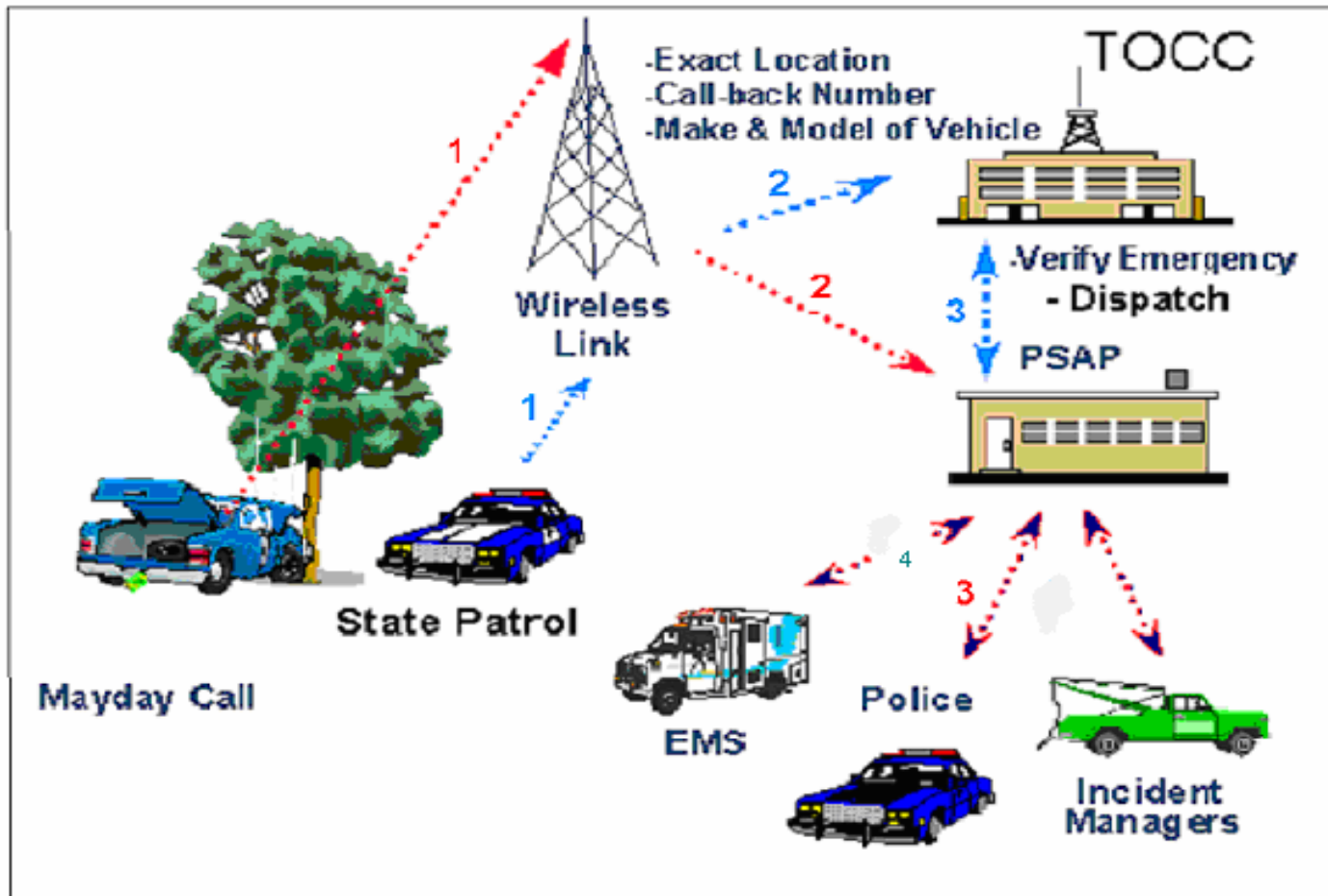


Why We Focus on E-government: We Live in a Web of Interdependencies



Interdependence to Cyberinfrastructure

Source: Tom Horan, Time-Critical Information Services Workshop



Overcoming Present Tendencies: Chronic Problems in E-Government

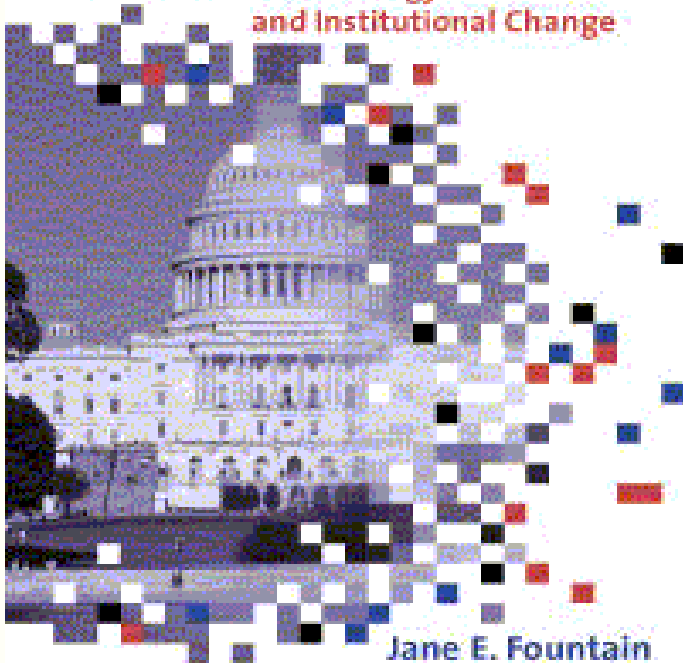
- **Putting the Status Quo Online:** Agencies automate political and institutional problems
- **Redundant Buying:** Multiple agencies buy the same item
- **Program Management:** Few IT projects delivered on time, on budget
- **Poor Modernization Strategies:** Few agencies have business-driven enterprise architectures connecting IT investments to performance improvement
- **Islands of Automation:**
 - Citizens deal with multiple agencies (U.S. - 22,000 websites) for service
 - Agencies cannot easily collaborate for key missions



Source: Mark Forman

Building the Virtual State

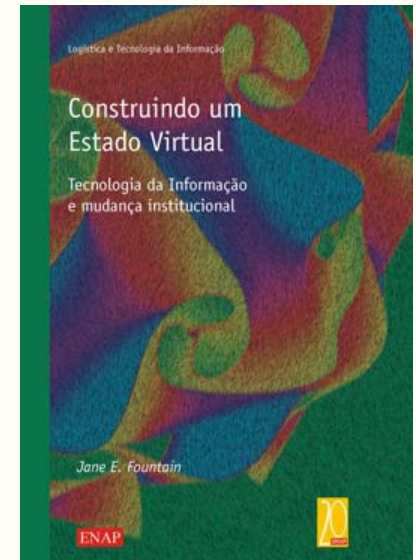
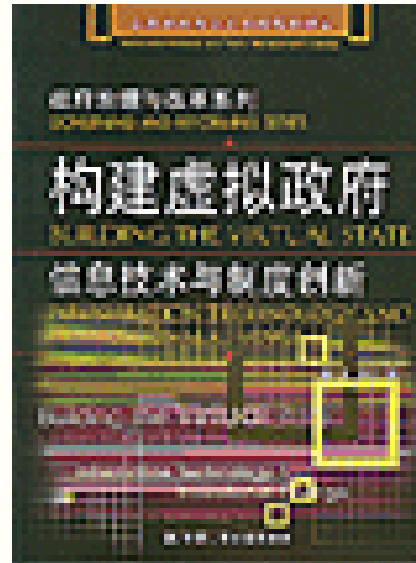
Information Technology
and Institutional Change



- **Technology Enactment framework**
- **U.S. government, 1988-2000**
- **30 virtual agencies: students.gov, seniors.gov, etc.**
- **International Trade Data System**
- **Business Advisor**
- **Infosphere (battlefield management)**

**Brookings
Institution
Press, 2001**

In translation



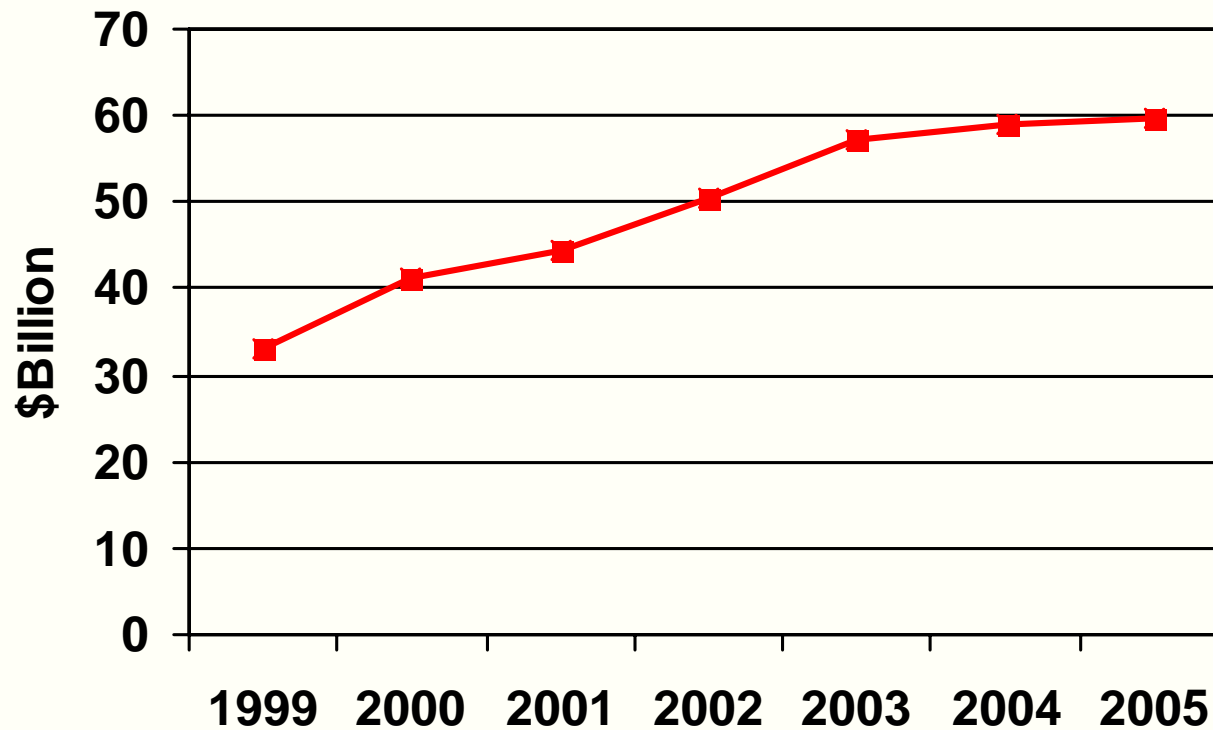
Cross-agency e-government initiatives



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U.S. Federal IT Spending



Presidential Management Agenda: E-Government Projects

Government to Citizen

1. USA Service
2. EZ Tax Filing
3. Loans.gov
4. Recreation One Stop
5. GovBenefits.gov

Managing
Partner
GSA
Treasury
Educ
Interior
Labor

Government to Business

1. Federal Asset Sales
2. E-rulemaking
3. Simplified and Unified
Tax and Wage Reporting
4. Consolidated Health
Informatics
5. Business Compliance
One Stop
6. International Trade Process
Streamlining

Managing
Partner
GSA
EPA
Treas
HHS

SBA
DOC

E-Authentication

Government to Government

1. E-Vital
2. E-Grants
3. Disaster Assistance
and Crisis Response
4. Geospatial Information
One Stop
5. Wireless Networks
(SAFECOM)

Managing
Partner
SSA
HHS
FEMA

DOI

FEMA

Internal Effectiveness and Efficiency

1. E-Training
2. Recruitment One Stop
3. Enterprise HR Integration
4. E-Travel
5. Integrated Acquisition
6. E-Records Management
7. Payroll Processing

Managing
Partner
OPM
OPM
OPM
GSA
GSA
NARA
OPM
NCDG



Cross-Agency Initiatives

Projects / Departments	DoC	DoD	DoE	DoEd	DoI	DoJ	DoL	DoT	EP	FDIC	FEMA	GSA	HHS	HUD	NARA	NASA	NRC	NSF	OP	SBA	Smithsonian	SSA	Statte	Treasury	USAID	USDA	VA
Consolidated H'lth Informatics		X											X									X					X
Disaster Management	X	X			X	X		X			X	X	X	X			X			X		X				X	X
E-Authentication	X	X		X		X		X	X			X	X	X		X				X		X		X		X	X
Grants.gov	X	X	X	X	X	X	X	X	X		X		X	X		X		X		X					X	X	X
E-Payroll		X	X																X			X	X				
E-Training		X					X	X				X								X		X					
E-Travel		X						X				X						X						X			X
E-Vital		X		X		X	X						X						X			X		X		X	X
E-Records Management		X	X		X			X	X				X	X		X							X	X		X	X
GovBenefits.gov			X	X			X				X		X	X								X	X			X	X
Expanding Electr. Tax Products																						X		X			
IRS Free File																								X			
Federal Asset Sales		X		X						X		X		X						X				X			X
Geospatial One-Stop	X	X	X		X			X	X		X		X	X		X	X		X							X	X
Integrated Acquisition Env.	X	X			X			X				X				X				X						X	X
Enterprise HR Integration		X																		X			X	X		X	
E-Clearance	X	X	X			X											X		X				X	X			
Int'l Trade Proc. Streamlining	X					X														X			X	X	X	X	
Business Gateway	X						X	X	X											X				X			
E-Loans				X							X		X	X							X					X	X
E-Rulemaking						X	X	X														X	X		X	X	
Recreation One-Stop	X	X			X			X													X	X		X	X	X	
Recruitment One-Stop	X	X			X		X	X	X						X				X							X	
USA Services							X				X	X	X							X		X				X	X
SAFECOM	X	X			X	X		X			X		X											X		X	

Capacity: From Place to Space

- Increasingly modularized and networked
- Build platforms for future development

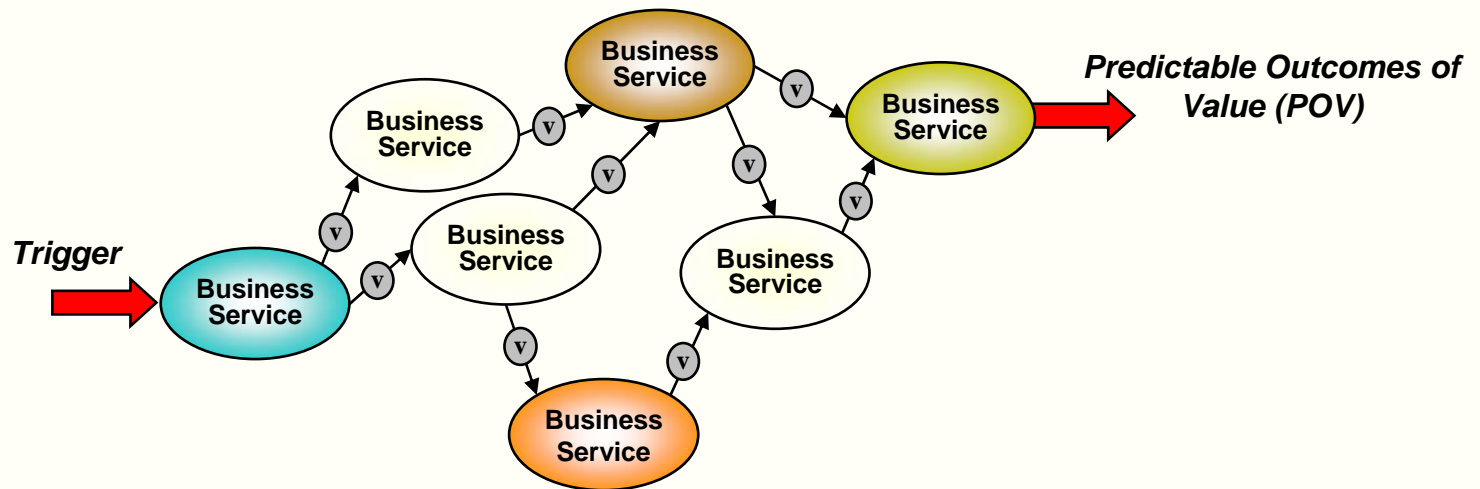


Figure from Tony Pease, "One Stop Business Compliance Best Practices Business Model, March 7, 2002



Lines of Business Task Forces

- **Case Management (Justice)**
- **Financial Management**
- **Grants Management**
- **Human Resources Management**
- **Federal Health Architecture (HHS, OPM, DOD, VA)**
- **IT Security**



Institutional Developments

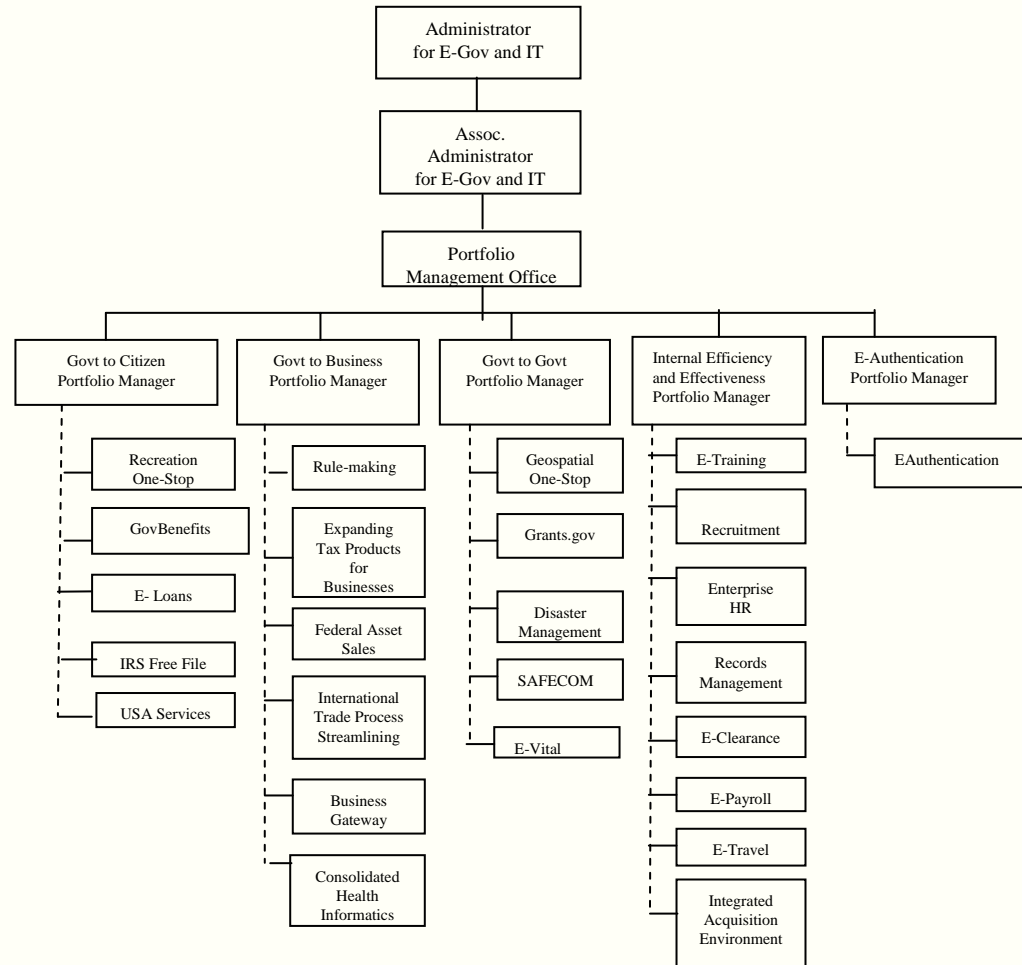


Institutional Development at OMB

- **Federal CIO, Administrator for E-govt and IT (Associate Director of OMB)**
- **Associate Administrator for E-Govt and IT (oversight of 25 cross-agency projects)**
- **Portfolio Management Office**
- **Five Portfolio Managers**
- **Managing Agencies**



OMB Office of E-Government and Information Technology



Appropriations for 25 E-Government Initiatives

- **2002:**
 - \$20 million requested
 - \$5 million appropriated
- **2003:**
 - \$45 million requested
 - \$45 million provided for in E-Government Act of 2002
 - \$ 5 million appropriated
- **2004:**
 - \$45 million requested
 - \$55 Million provided for in E-Government Act of 2002
 - \$ 3 million appropriated
- **Total funding authorized under E-Government Act 2002 (2002-2007): \$345 M**

Sources: <http://www.fcw.com/fcw/articles/2002/0218/cov-budget1-02-18-02.asp> accessed 7-2-04, E-Government Act of 2002, (H.R. 2458/S. 803), <http://www.regulations.gov/images/e-Gov%20Law.pdf> accessed 7-2-04, http://gcn.com/23_3/news/24892-1.html accessed 7-2-04



“... Even without homeland security absorbing most of the IT dollars, cross-agency projects have never been a favorite of Congress, where appropriations are awarded through a ‘stovepipe system’ of committees that makes a multi-agency approach difficult....”

John Spotila, former director of Information and Regulatory Affairs within OMB

Source: Quoted in *Federal Computer Week* FWC.com, February 2002:
<http://www.fcw.com/fcw/articles/2002/0218/cov-budget1-02-18-02.asp>



“We have never been convinced that the fund doesn’t duplicate what already exists in other agencies or performs unique functions,” said. “It has never been well-justified, and we don’t have a lot of spare cash lying around.”

John Scofield, a spokesman for the House Appropriations Committee (February 2004)

Quoted in *Government Computer News*, GCN.COM, 2/9/04
http://gcn.com/23_3/news/24892-1.html accessed 7-2-04



Electronic Rulemaking



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E-Government Act of 2002

- **Authorizes the PMA Expanding E-Government Initiatives**
 - Section 206 is the online rulemaking provision
- **Under Section 206 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



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 and 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 Structure and 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 formed on:** Acquisition, Budget, Business Process Re-engineering, Legal & Policy, Module 1, Module 2, Module 3, and XML



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
 - Full-text search across all Federal rulemakings (by agency & keyword)
 - Posts PDF and HTML versions of rules
 - “Back-end” (Comment application)
 - Developed by Food and Drug Administration
 - Enhanced by EPA
 - Hosted by EPA
- **Early success since January 23 launch**
 - Usage statistics: 1+ million total hits (8,300 per day), 128,000 unique visitors
 - Helpdesk comments: majority are positive
 - Awards: eGov Pioneer, FOSE Showcase of Excellence finalist, Secure EBiz, Colborn Award



Module 3 – Virtual Workspace for Regulation Writers

- **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



Joint Funding Methodology

- **A cross-agency budget workgroup developed the funding model and allocation approach**
- **Funding formula developed for operation and maintenance of federal docket system**
- **Memoranda of Understanding (MOUs) between EPA and participating agencies to facilitate interagency agreements and fund transfers**



Results that Benefit the Public

- **Provide access to rulemaking through public commenting**
- **Comment on comments**
- **Change the nature and scope of public deliberation**
- **Increase transparency and visibility of government**



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.**



Leadership

“They have provided continuity in the management of the project. The project team literally had to slug it out over many months. They showed integrity of leadership. The crunch came when they had to decide on architecture. Sunk investments are important. It became clear that they did not flinch at the point of decision. They held firm and didn’t flinch when it came time to make a decision.”



Conclusions

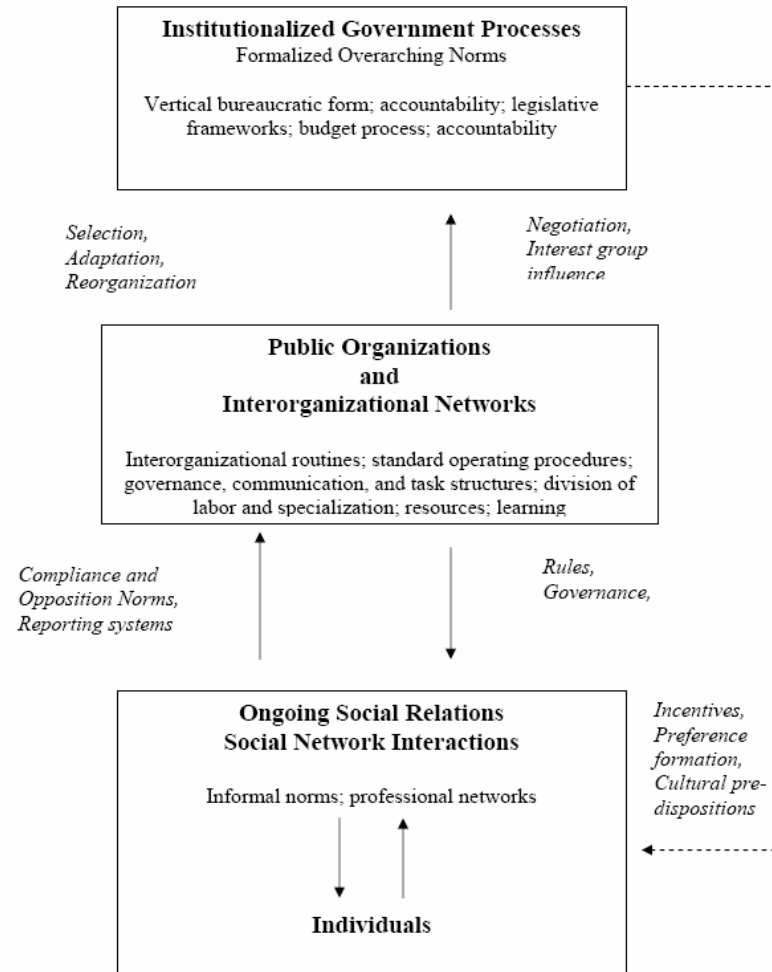


Lessons Learned to date

- **Communication and coordination across multiple agencies is an immense challenge**
- **There is not a technical problem/solution**
- **Huge differences among agency practices**
 - **Business practices and workload**
 - **Electronic vs. non-electronic processes and practices**
 - **Variety of underlying statutory requirements**



A New Institutional Approach: Multi-level Integrated Information System (MIIS)



Based on new institutionalism approach by Victor Nee and Mary Ingram

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Fountain Model: Antecedents of Successful Collaboration

Macro-Level

Institutional Factors:

- **Accountability**
- **Political Leadership**
- **Legislative Framework**
- **Budgetary Process**
- **Organizational Culture**

Meso-Level

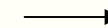
Operational/ Managerial Factors:

- **Structure of Collaborative Work (important task, clear goals, performance metrics)**
- **Resources**
- **Interoperability**

Micro-Level

Individual Factors:

- **Background**
- **Skills**
- **Experience**
- **Social Capital (networks and trust)**



Successful Collaborative Initiative

Recommendations for the EU Agenda for 2020

- **What is central to national or cultural identity?**
- **Link e-government to reform initiatives**
- **Balance vendor influence with governance/societal analysis**
- **Analyze and manage institutional change as well as information systems change**
- **Develop public servants as knowledge workers with a broad governmental (enterprise) perspective**



From E-Government to the Virtual State

The virtual state is intersectoral, interagency, and intergovernmental. But it achieves this fluidity and cross-boundary character through standardization, rationalization, and the management of interdependence.



Thank you!
www.ncdg.org



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