NMFS FIS ER
eSignature Project

In-Person Project Kick-off

Washington, DC

July 11, 2008

Agenda for Today's Meeting

- Opening Remarks
- Meeting Context
- Team Member Introductions
  - Break
- NPS eSignature Work Flow and Biz Plan
- eSignature Project Plan Time Line
- Stakeholder Analysis Grid
- Roles and Responsibilities
- Remote Collaboration
  - Lunch
- Think Tank Preview
- Next Steps & Action Items
- Closing

Opening Remarks

- Brief Charter for Group from Larry
  - ❑ What will we have accomplished by January 2009?
  - ❑ What we will have not done by January 2009?
 - ❑ What does success look like in January 2009?

Meeting Context
Purpose and Desired Outcomes

- Purpose: Kick off the NMFS FIS ER eSignature Project Team
- Desired Outcomes:
  - Understanding of National Permits System as a pilot example for eSignatures
  - Clarity on project tasks, timeline and roles and responsibilities
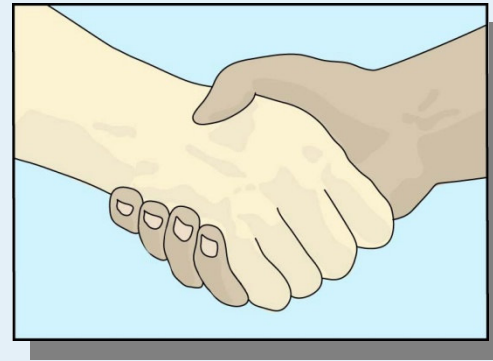 - Understanding of tools and processes for team
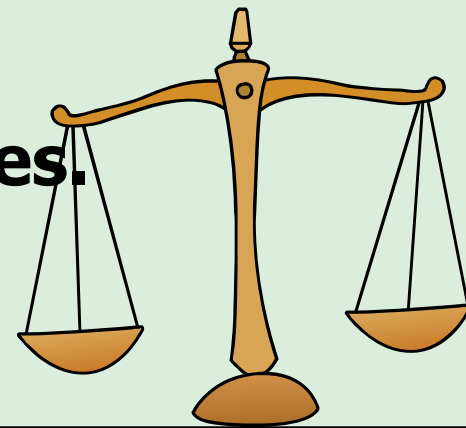
Facilitator's Role
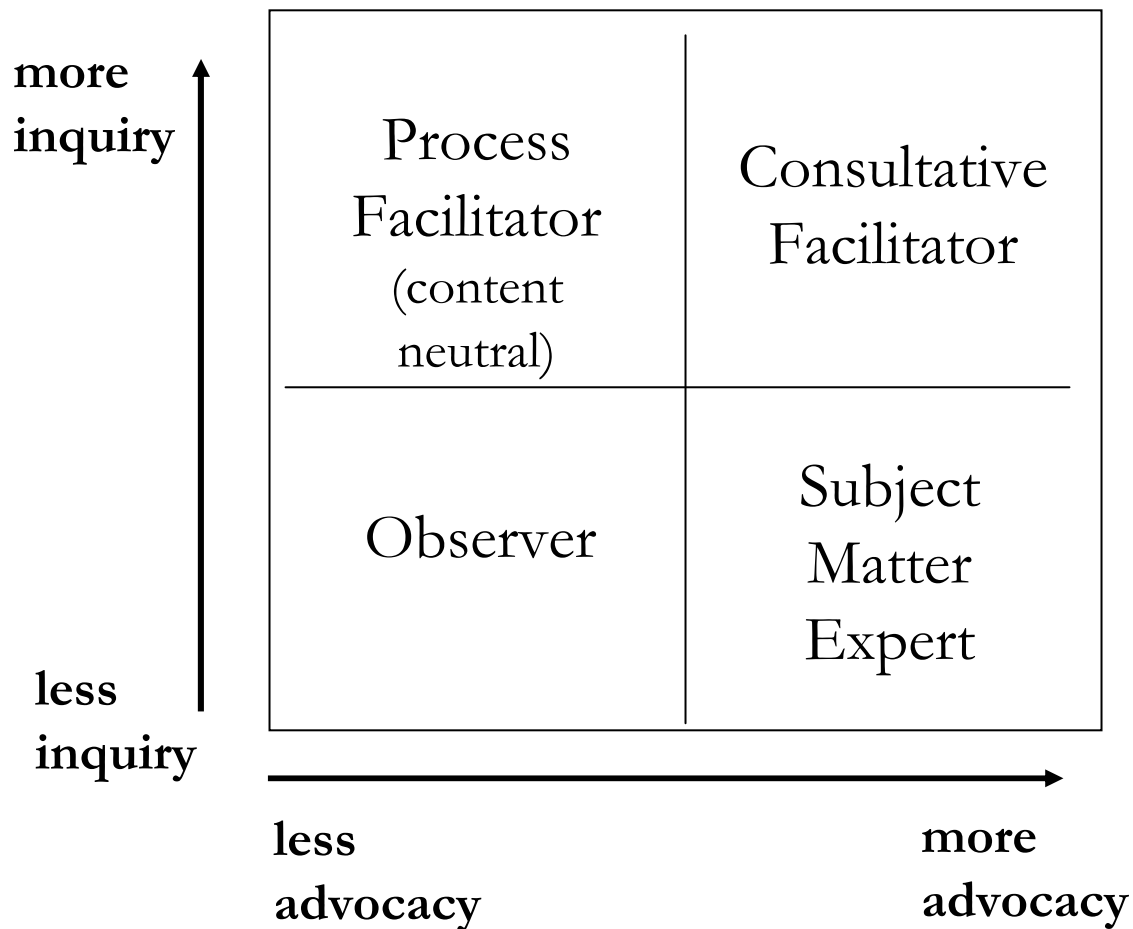
PRINCIPLES

- **Move on despite ambiguity**

- **Listen as allies**

- **Get to the point**

- **Give criticism with upgrades**

- **Finish each part**

WORKING DEFINITION OF
CONSENSUS

- **The process we used was explicit, rational & fair**

- **I was treated well, my inputs were heard;**

- **And I can live with the outcomes.**

Team Member Introductions

- Each Person get a marker and piece of flip chart paper and answer these questions:
  - What is my organization?
  - Where did you grow up and where do you live now?
  - What is my stake in the process?
  - How did I come to be a member of this group?
  - What is my time commitment to this group?
  - What is my expertise and/or experience?
  - How do I like to work?
  - What is the best stereotype/archetype that describes me or "my kind"?
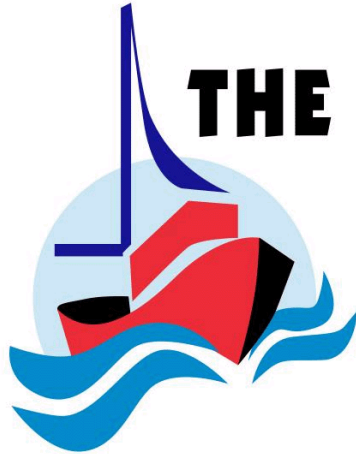
Public Web Site Workflows

Workflows

- **Registering to the web site**
  - ❑ New Users
  - ❑ Existing Permit Owners
  - ❑ Agents

- **Applying for a Permit**
  - ❑ New
  - ❑ Renewals

- **Electronically Signing an Online Form**

- **Paying Processing Fees using Pay.gov**

Registering - New Users

- In order to fill out an online application form, applicants must first register

- This is accomplish by:

    - Providing their name

    - Creating a unique NPS User Name

    - Entering and verifying their email address

    - Selecting a user type (vessel owner, captain, fisherman, agent, public, etc.)

    - A fishing region

    - Entering a displayed "Completely Automated Public Turing test to tell Computers and Humans Apart" (CAPTCHA) Code

        - CAPTCHA is a challenge-response test used to prevent computer-generated registrations

Verifying the Email Address

- A password is generated by the system and sent to the applicant's email address

- Once the applicant logs in with the system-generated password, they are asked to change it

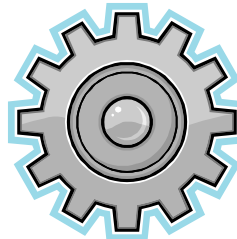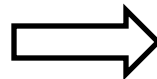- This process ensures the validity of the user's email address
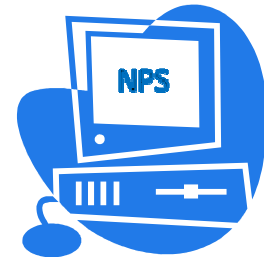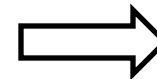
Registering – New Users

- Name
- NPS User Name
- Email
- User Type
- Fishing Region
- CAPTCHA Code

Applicant submits registration information

NPS generates a password and sends it to the applicant's email address

The applicant logs into NPS and changes the generated password

Login Page

Registration

First Time Login

Logged In

Registering - Current Permit Owners

- Current permit owners must register at the NPS public web site to be able to apply for new permits and to renew existing permits online

- Current owners of active permits will be mailed a "Welcome to NPS" letter with a Permit Access Code (PAC) for every permit that they own

  - This letter will only need to be sent out once (assuming duplicate permit owner entities are merged) and will contain a PAC for each permit that is owned by the individual or business

- After login to the web site, the current permit owners will be able to enter PAC information

- Once a PAC is entered, the permit owner will have access to the information related to the permit associated with the PAC, including the ability to renew, transfer, etc

Sample Welcome to NPS Letter

Permits

PACs

Registering - Current Permit Owners
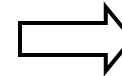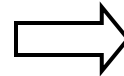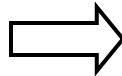
The current permit owner receives a letter with their unique PACs and registers with NPS

NPS generates a password and sends it to the current permit owner's email address

The applicant uses the generated password to log into the system and changes the password

After logging in, the current permit owner can then enter their PACs to gain access to their information

Registering - Agents

- Agents and others who will be applying on behalf of permit owners first need to register with NPS' public web site

- After the agent is registered with the system, it is recommended that a notarized letter with the following information is submitted to a NMFS Regional Office for each permit owner the agent represents:

  - The permit owner's name

  - The permit(s) the agent is allowed to apply for (permit name and number)

  - The agent's name / phone

  - The agent's NPS user name

  - The permit owner's signature / date

Linking agents and applicants

- As with any user of NPS, the Agent must register with NPS first

- Once an agent is registered with the system, the agent will need to obtain from the permit owner the Permit Access Codes for the permits that the owner wants the agent to have access to

- Each PAC will provide the agent with access to the permit related information associated to the PAC

  - This information can then be used by the agent to submit requests for existing permits (renewal, transfers, etc) using pre-filled online application forms

  - If the permit owner wants to change agents or would no longer like to use an agent, the PAC can be reset and the agent will no longer have access to the permit

    - PACs can be reset by request of the permit owner by calling the appropriate regional office and having a NMFS Back-Office user reset it

    - The new PAC is then mailed to permit owner's address on file

Registering - Agents

The agent registers with NPS and requests any PACs that a permit owner may have received
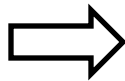
NPS generates a password and sends it to the agent's email address
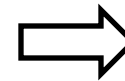
Once the agent logs into the system and changes their password, they may enter any PACS they have received from current permit owners to gain access to the permits

Applying for a New Permit

- Once an applicant has successfully logged into the system, they may apply for new permits

- After selecting the desired permit, the corresponding online form associated with that permit is displayed for data entry

  - Users that have used NPS in the past or have supplied a PAC will be able to use online forms with pre-filled information

- After a user is done filling out the information, they electronically sign the online application form, pay any associated processing fees, and receive an electronic receipt

Applying for a Permit: New

| The applicant logs into the system | The applicant selects the permit to apply for | The applicant completes the online form and electronically signs It | The applicant pays any associated processing fees and receives an electronic receipt |
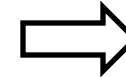
Renewing a Permit

- Once an applicant has successfully logged into the system, they may apply to renew an existing permit

- Applicants may renew permits for which they applied through NPS' public web site in the past and for permits for which they supplied a Permit Access Code (PAC)

  - Since NPS pre-fills renewal forms, this is to ensure that the applicant is only allowed to view information they have either supplied themselves or have been given access to

- Upon selecting the permit to be renewed, NPS will present the applicant a prefilled online application form

- After making any corrections to the information, the applicant must electronically sign the online form

- Then the applicant must pay any associated processing fees for each submitted application and receives an electronic receipt

Applying for a Permit: Renewals

Once the applicant has logged into the system and selected the permit they wish to renew, NPS presents a prefilled online application form
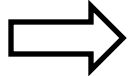
After the applicant is finished adding and correcting any information and the form is complete, the applicant electronically signs it
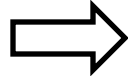
The applicant pays any associated processing fees and receives an electronic receipt

Electronically Signing an Online Form

- When an applicant needs to electronically sign an online application form:

  - ❑ NPS displays all of the information that the applicant has entered into the system

  - ❑ NPS displays a "Certification" message, with a checkbox that states that the applicant has read, understands, and agrees to the terms and conditions message

    - This checkbox must be checked in order for the applicant to pay any processing fees and submit the application for processing

  - ❑ The applicant must sign the form by typing their name into the signature field

  - ❑ The applicant must enter their password again to confirm their identity

Saving a Copy of What Was Signed

- To ensure that we have an exact record of what the applicant signed, NPS will:
  - Store in PDF format an exact copy of the information entered at the time the document was signed
  - Also, NPS will store:
    - The time of the signing
    - The date
    - The user's NPS user name
    - IP Address of the person signing the online application form
  - Since this PDF file will contain PII information, it will be encrypted in the NPS database for protection
- The applicant will also have an opportunity to download a PDF file containing the same information for their records

Electronically Signing an Online Form
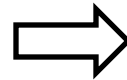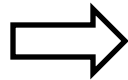
All of the information that was collected by NPS is displayed

A "Certification" message is shown below the collected information

The applicant signs the online form by:
- Confirming they read the "Certification" message
- Typing their Name
- Typing their password

sm5   Display a screen shot. This is important.
smolina, 5/5/2008

Electronic Signature Page

Electronic Signature (Bottom of Page)

PAT FISHER (Individual)

I declare, under penalties of perjury and as an authorized authority, that the information in this application has been examined by me and is, to the best of my knowledge and belief, true, correct, and complete. By typing your name in the indicated fields, you are agreeing to conduct business electronically with the National Oceanic and Atmospheric Administration in accordance with the federal Electronic Signatures in Global and National Commerce Act (E-Sign), 15 U.S.C.A. §§ 7001-7031 (West Supp. 2002). I understand that transactions and/or signatures in records may not be denied legal effect solely because they are conducted, executed, or prepared in electronic form, and that if a law requires a record or signature to be in writing, an electronic record or signature satisfies that requirement.

☐ I have read and understand the statement above.

Signature: [   ] (Please retype your name)

Password: [   ]

MICHAEL B FISHER (Officer: CAROLINA SEA BREEZE INC)

I declare, under penalties of perjury and as an authorized authority, that the information in this application has been examined by me and is, to the best of my knowledge and belief, true, correct, and complete. By typing your name in the indicated fields, you are agreeing to conduct business electronically with the National Oceanic and Atmospheric Administration in accordance with the federal Electronic Signatures in Global and National Commerce Act (E-Sign), 15 U.S.C.A. §§ 7001-7031 (West Supp. 2002). I understand that transactions and/or signatures in records may not be denied legal effect solely because they are conducted, executed, or prepared in electronic form, and that if a law requires a record or signature to be in writing, an electronic record or signature satisfies that requirement.

☐ I have read and understand the statement above.

Signature: [   ] (Please retype your name)

Password: [   ]

[Back] [Continue]

fisheries permits
Fisheries Information System

Using Pay.gov for Payment

- Once the applicant has electronically signed the online application form, they pay by:

  - ❑ Selecting their payment method:
    - Pay.gov supports checks and credit cards

  - ❑ Entering the requested information

  - ❑ Submitting their information to Pay.gov for processing
    - NPS does not store any financial information

  - ❑ On successful completion of payment, the applicant will receive an electronic receipt via email and the opportunity to download a PDF file that contains the information they submitted

A2   Also, display the screen shots that are part of this process
              Administratr, 5/12/2008

Using Pay.gov for Payment

The applicant selects their payment method
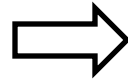
The applicant enters the information requested by Pay.gov and submits it for processing
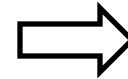
NPS emails an electronic receipt and offers the applicant to download a PDF file containing the information submitted to NMFS

Pay.gov

Online Payment   Return to your originating application

Step 1: Enter Payment Information   1 | 2 | 3

Pay Via Plastic Card (PC) (ex: American Express, Diners Club, Discover, Mastercard, VISA)

Required fields are indicated with a red asterisk *

Account Holder Name: [   ] *

Payment Amount: $67.00

Billing Address: [   ] *

Billing Address 2: [   ]

City: [   ]

State / Province: [------ ▼]

Zip / Postal Code: [   ]

Country: [United States ▼]

Card Type: [▼] *   VISA MasterCard AMEX Diners Club International DISCOVER

Card Number: [   ] * (Card number value should not contain spaces or dashes)

Security Code: [   ] * Help finding your security code

Expiration Date: [▼] * / [▼] *

Select the "Continue with Plastic Card Payment" button to continue to the next step in the Plastic Card Payment Process.

[Continue with Plastic Card Payment]   [Cancel]

Note: Please avoid navigating the site using your browser's Back Button - this may lead to incomplete data being transmitted and pages being loaded incorrectly. Please use the links provided whenever possible.

Pay.gov

Online Payment   Return to your originating application

Step 2: Authorize Payment   1 | **2** | 3

Payment Summary   Edit this information

Address Information	Account Information	Payment Information
Account Holder Name: John Fisher	**Card Type:** Master Card	**Payment Amount:** $67.00
Billing Address: 75 Vriginia Beach Dr	**Card Number:** ************5100	**Transaction Date and Time:** 05/12/2008 14:39 EDT
Billing Address 2:	**Expiration Date:** 4 / 2012	
City: Miami		
State / Province: FL		
Zip / Postal Code: 33149		
Country: USA		

Email Confirmation Receipt

To have a confirmation sent to you upon completion of this transaction, provide an email address and confirmation below.

Email Address: [   ]

Confirm Email Address: [   ]

CC: [   ]   *Separate multiple email addresses with a comma*

Authorization and Disclosure

Required fields are indicated with a red asterisk *

I authorize a charge to my card account for the above amount in accordance with my card issuer agreement. ☑ *

Press the "Submit Payment" Button only once. Pressing the button more than once could result in multiple transactions.

[Submit Payment] [Cancel]

Pay.gov

Online Payment

Step 3: Confirm Payment

1 | 2 | 3

Thank you.
Your transaction has been successfully completed.
It is recommended you print a copy for your records.

Print this window.

Pay.gov Tracking Information

Application Name: National Permit System
Pay.gov Tracking ID: 3FOC99HU
Agency Tracking ID: 334
Transaction Date and Time: 05/12/2008 14:40 EDT

Payment Summary

Address Information	Account Information	Payment Information
Account Holder Name: John Fisher	**Card Type:** Master Card	**Payment Amount:** $67.00
75 Vriginia Beach Dr	**Card Number:** ************5100	**Transaction Date and Time:** 05/12/2008 14:40 EDT
Billing Address:	**Expiration Date:** 4 / 2012	
Billing Address 2:		
City: Miami		
State / Province: FL		
Zip / Postal Code: 33149		
Country: USA		

Return to your agency website

Electronic Signatures Implementation Plan

Phase I

	Scoping Document	
E-Signature Transactions		Benefits to NMFS & Partners
Who Wants E-Signatures	Business Plan Outline	Estimated Time & Cost

Management Approval

Phase II

	Business Plan	
Current & Proposed Process		Risk Assessment
Demand for E-Signatures	Implementation Outline	Cost & Benefits

Management Approval

Phase III

Business Plan Evaluation

Management Approval

Phase IV

Implementation

Current Phase

Completed or Pending Phase
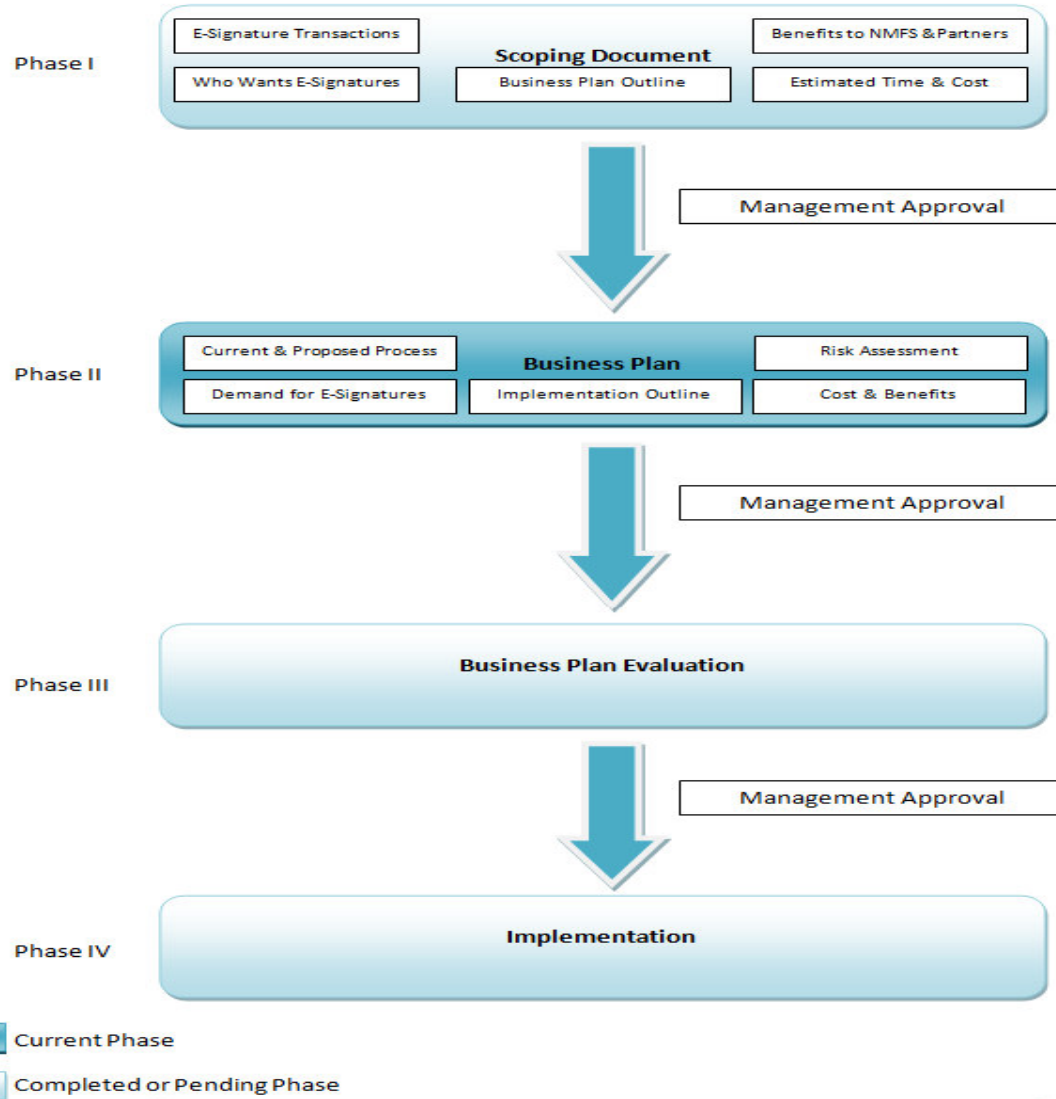
Questions…

NMFS eSignature Project Timeline

Preliminary Schedule

- 7/25/08-- Stakeholder Communication Plan, which identifies stakeholders, the nature of their interest in NFMS eSignature solutions, their issues or concerns, points of contact and methods for keep relevant stakeholders informed and engaged.
- 8/27/08--Alternatives Analysis for technical approaches to eSignatures
- 9/26/08--Risk Assessment and Cost Benefit Analysis, prepared according to NMFS procedural directive 32-110-02
- 10/31/08-Implementation Plan prepared according to NMFS procedural directive 32-110-02
- 12/5/2008--Presentation of preliminary results to stakeholders
- 12/19/2008--Critique of final project documents.

NMFS eSignature Project Timeline

Assumptions

- Much of the work will be conducted remotely on-line or by teleconference.
- The final face to face meeting of the NMFS eSignature stakeholders will be conducted in the Washington, D.C. area.
- Touchstone will have primary responsiblity for writing assignments where knowledge of eSignatures is critcial
- The NMFS project team members will have primary responsiblity for writing assignments where knowledge of the NMFS mission, practices and organization are critical.
- NMFS will be responsible for scheduling initial interviews
- The contractor will offer its facilities (meeting rooms) for facilitated meetings within the scope of the contract (up to 30 participants) at no additional charge
- Interview themes, meeting agenda, and meeting documentation will be the property of NMFS.
- Period of Performance is June 1, 2008 , through January 16, 2009

Stakeholder Analysis Grid

- Show version from wiki

Roles and Responsibilities

- Inputs include:
  - ❑ NPS case study
  - ❑ Timeline Review
  - ❑ Knowledge of Expertise and Experience
  - ❑ Amount of Time Commitment from Team
- Who is responsible for what and what does that role look like?

RACI Background

The acronym RACI stands for:

- **Responsible** - these people are the "doers" of the work. They must complete the task or objective or make the decision. Several people can be jointly responsible.

- **Accountable** - this person is the "owner" of the work. He or she must sign off or approve when the task, objective or decision is complete. This person must make sure that responsibilities are assigned in the matrix for all related activities. There is only one person accountable, which means that "the buck stops there."

- **Consulted** - these are the people who need to give input before the work can be done and signed-off on. These people are "in the loop" and active participants.

- **Informed** - these people need to be kept "in the picture." They need updates on progress or decision, but they do not need to be formally consulted, nor do they contribute directly to the task or decision.

How to Use Our Wiki

Confluence is a wiki. Wiki was pioneered by Ward Cunningham, and named after the Hawaiian word for 'quick'. Wikis are make it easy to communicate online; as simple to edit as it is to read, the wiki makes for the perfect online collaboration tool. Confluence makes creating and maintaining a collaborative intranet easier than maintaining your personal file system.

If you work alone, Confluence helps you manage the relationships among your different work products and allows you access to your work from any computer on the Internet. If you work with other people, Confluence still helps you organize, but also allows you to selectively share and collaborate with others over the Internet.

Confluence provides a cohesive, web-based solution for:
- Content composition and formatting
- Delivery to intended audience
- Relating information pieces with context and structure
- Search and discovery

The defining feature of a wiki is edit this page, and you have to try it to see how satisfying it can be.

Remote Collaboration

- Beyond this meeting, most work will be done on the phone, Webex or with Think Tank
- Steve will facilitate and take responsibility for agenda and Jared will take meeting notes

Conference-calling "ground rules"

- Always identify yourself.
- Speak in the order of your name on the participant list, unless otherwise indicated. You can pass if you have no comment.
- Wait for one person to finish before speaking; otherwise, comments will be muddled or cut off on speaker phones.
- Stay on the call from start to finish. If you cannot stay on the call, let people know at the start of the call.
- No interruptions. Have someone else handle business while you're on the call.
- Limit calls to 60 minutes if possible, 90 minutes max

General Facilitation

- Before moving from one agenda item to the next, the facilitator summarizes the discussion, the actions agreed upon, or the next steps for doing agreed-upon actions.
- Identify the appropriate next steps before the end of the call. Schedule subsequent calls or meetings before completing the call.
- At the end of the call, the facilitator should summarize the discussion and clarify the actions agreed upon. Persons responsible for action items should be named and one person designated as "responsible" if more than one person is working on an item.
- Each person should sign off at the end of the call, letting others know he or she is going off the line. If some people want to talk after the call for any reason, this should be arranged between them while all the other people are still on the line.
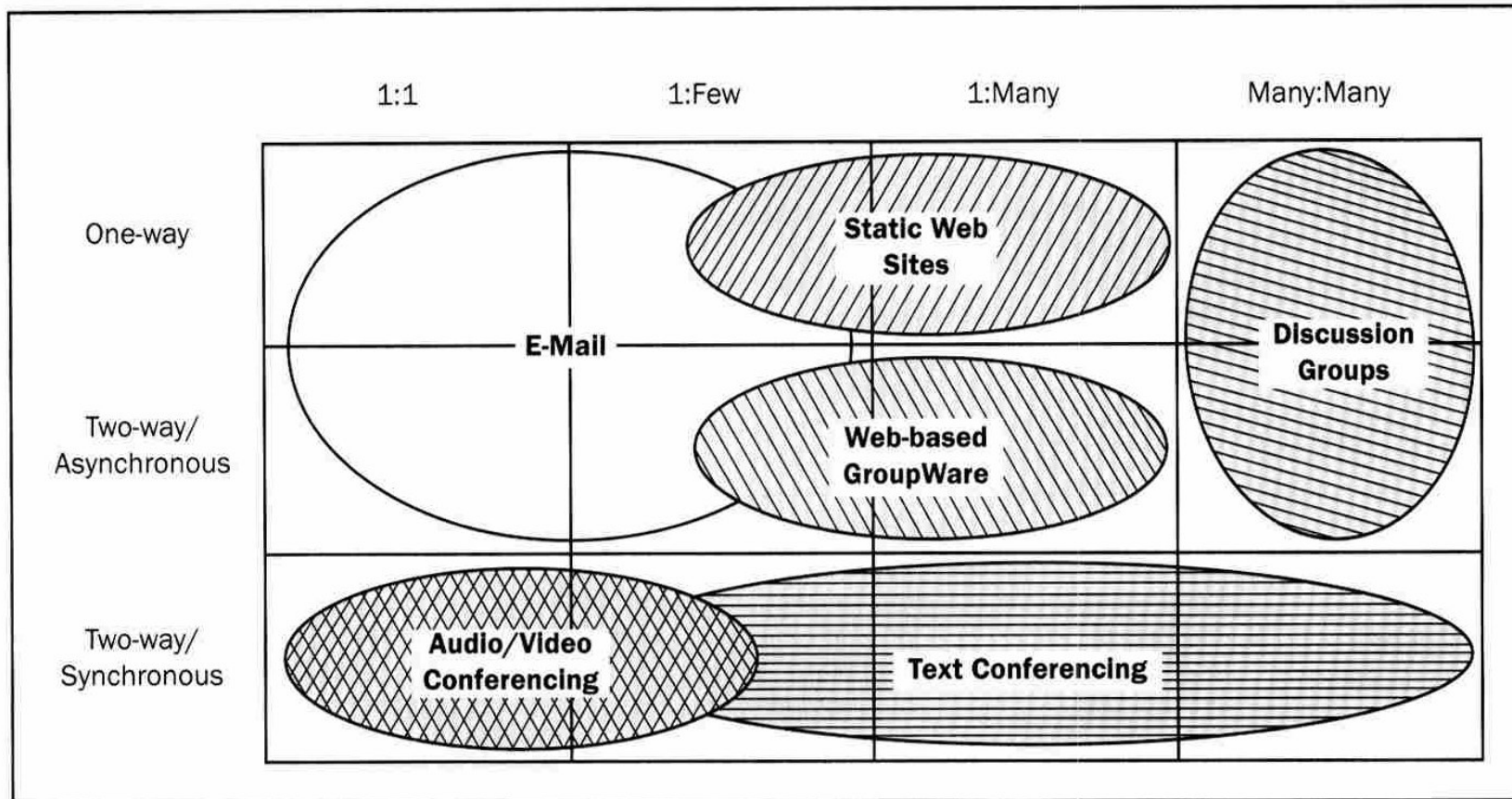
# Remote Collaboration (cont).

Figure 4. Taxonomy of Internet Applications for Project Management

A taxonomy of Internet applications for project management communication. (2002) Giffin, Steve D. Project Management Journal 33(4): 39-47.

Think Tank Preview

ThinkTank moves face-to-face or virtual workgroups through a process toward its goals, faster and more completely.

- ❑ Generate new ideas
- ❑ Distill ideas to the best few
- ❑ Clarify and organize ideas
- ❑ Evaluate ideas
- ❑ Build consensus
- ❑ Create deliverables
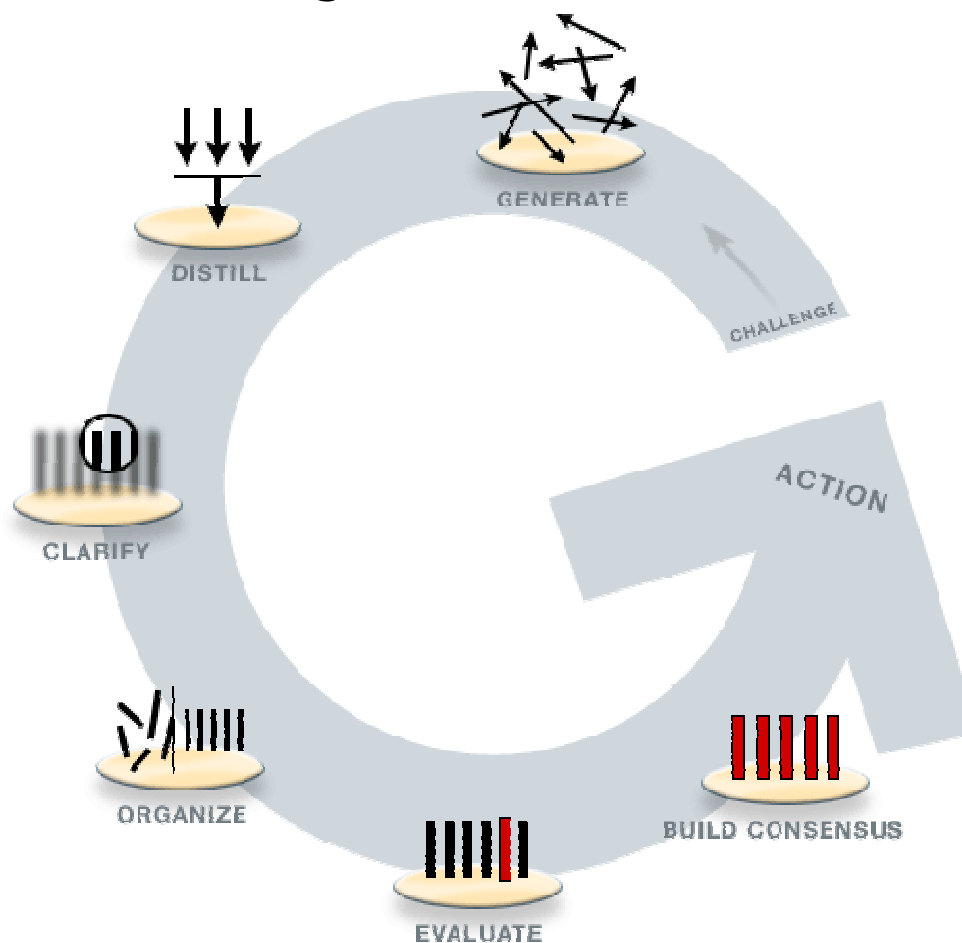
Next Steps & Action Items

- ■ Review and confirm action items
- ■ Review parking lot
- ■ Set next meeting time to review:
  - ❑ Stakeholder Analysis Grid
  - ❑ Stakeholder Communications Plan

Closing and Concluding Thoughts

- Reflections on the day
- Reflections on the tasks ahead