ROCIS How to Guide for Agency Users of the Information Collection Request (ICR) Module

November 16, 2020

Regulatory Information Service Center (RISC)

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1. LOGGING IN/OUT

Point your browser to the ROCIS website (www.rocis.gov) to login to the system. Read the For Official Use Only message and click the button to proceed.

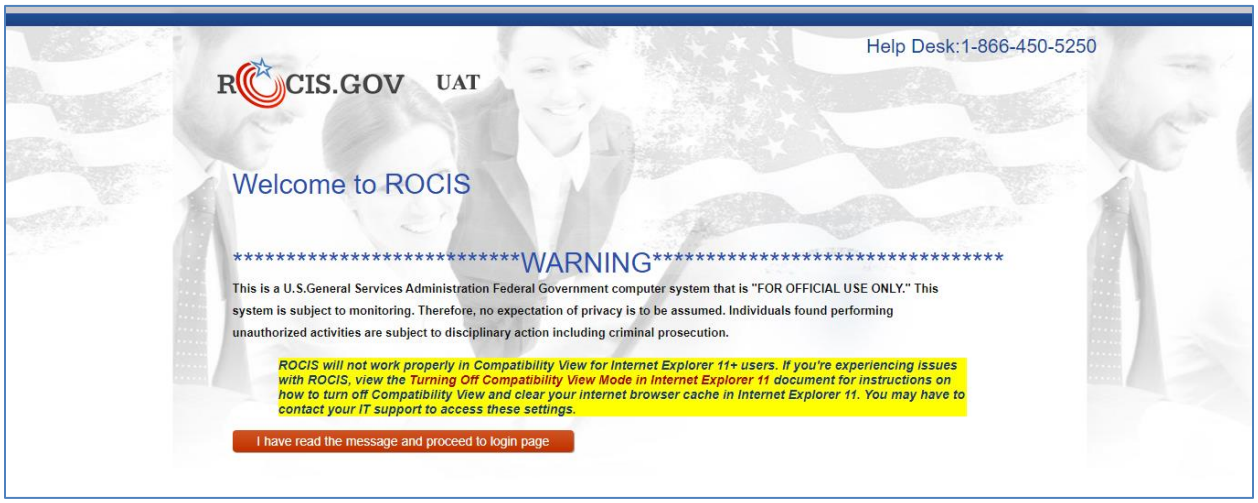


Figure 1.1: For Official Use Only Warning Screen

MAX.gov provides user identity authentication services to ROCIS including ID/password validation, 2-factor authentication and PIV/CAC card access. All ROCIS users will need a MAX.gov account to access ROCIS. If you do not have a MAX.gov account, please register at the MAX.gov website (https://portal.max.gov/portal/home).

Click the Login button on the next screen to verify your identity with MAX.gov.

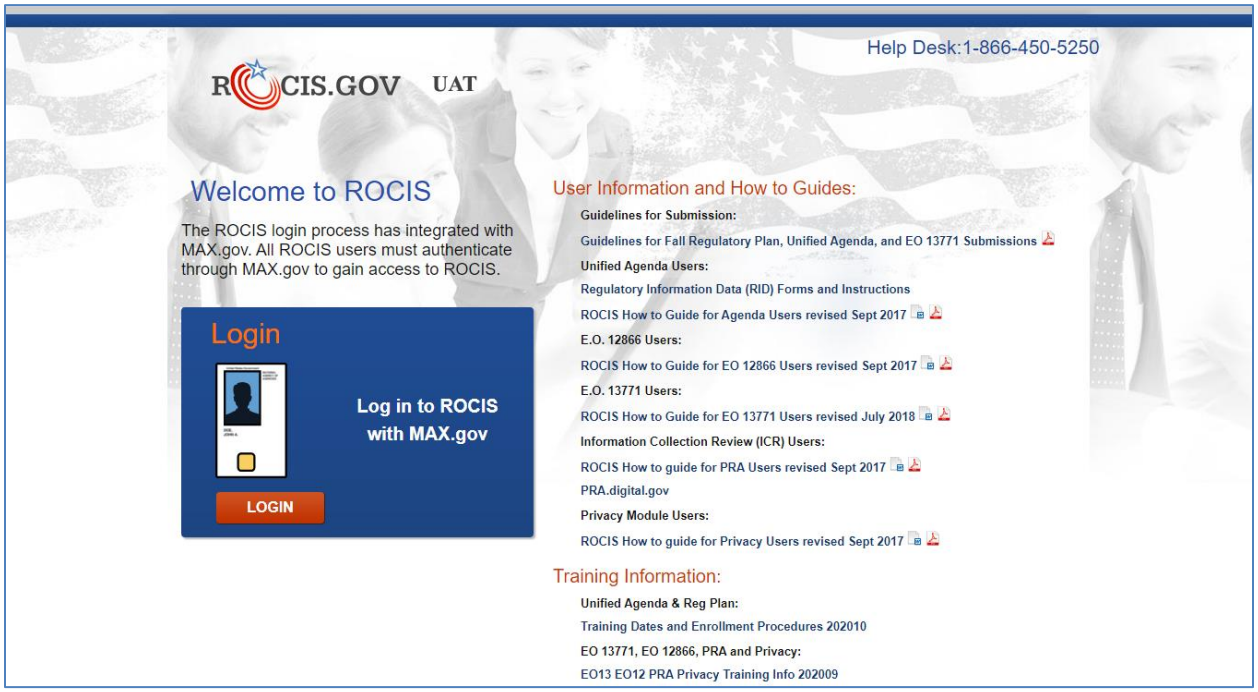


Figure 1.2: Login Screen

Logging in to MAX.gov with your PIV/CAC card satisfies the ROCIS multi-factor authentication requirement. If you login to MAX.gov with your user ID and password, you will be required to provide a second authentication factor, either using an authenticator app or via text message on your mobile device.

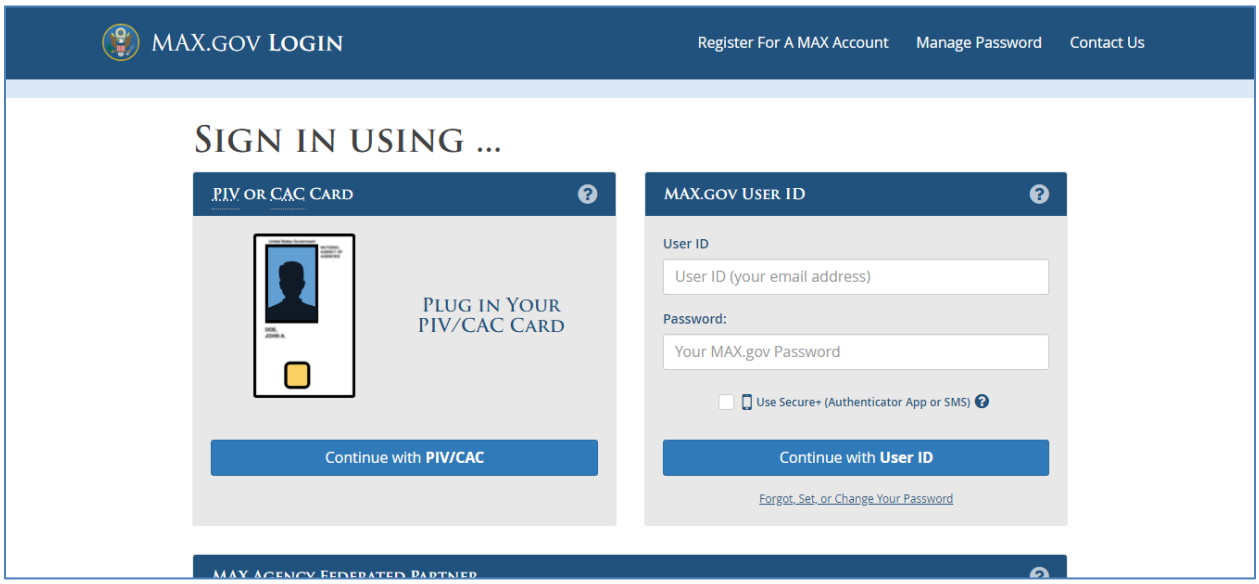


Figure 1.3: MAX.gov Login Screen

After successfully logging in to MAX.gov, you will be redirected to ROCIS.

Click the arrow for the 'Privacy' module to continue.

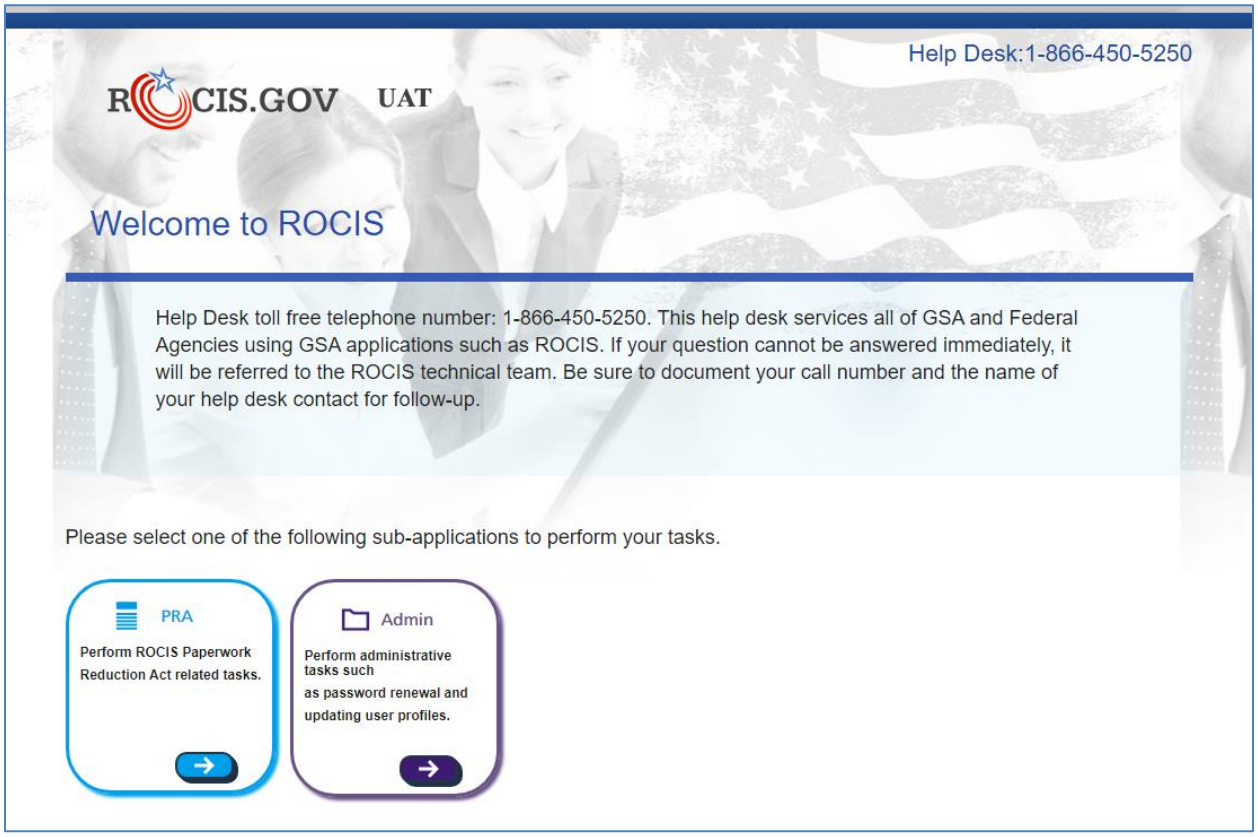


Figure 1.4: ROCIS Landing Page

Click the Logout link at the top, right corner of any ROCIS page to logout of ROCIS.

Figure 1.5: Logout Link

Logging out of ROCIS does not automatically log you out of MAX.gov. You MAX.gov session may still be active which means that you can log back in to ROCIS without having to re-verify your identify in MAX.gov. To protect your privacy, close all browser windows when you are finished, especially if you are using a public computer. By taking these steps, you ensure the security and privacy of your agency's data in ROCIS.

On the next screen, click the MAX Logout button to log out of MAX.gov. This will require you to log back in to MAX.gov before the next time you access ROCIS. Click the ROCIS Login button to log back in to ROCIS.

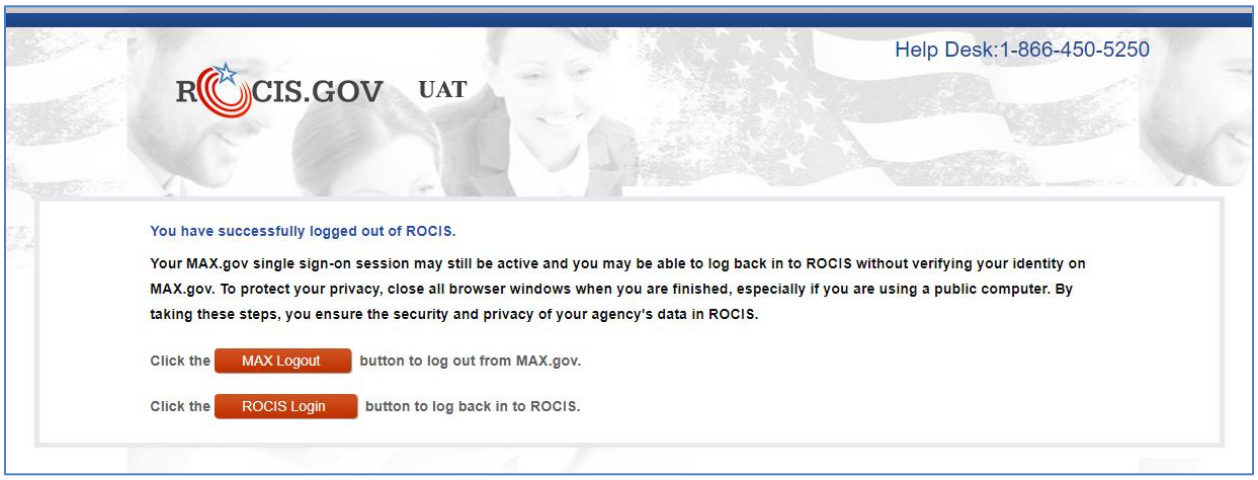


Figure 1.6: Logout Screen

2. YOUR USER PROFILE

Take a moment to review your user profile. Click the Administration tab. Then click the User Profile icon in the Administration toolbar. The User Profile page provides you a place to view and update your user information.

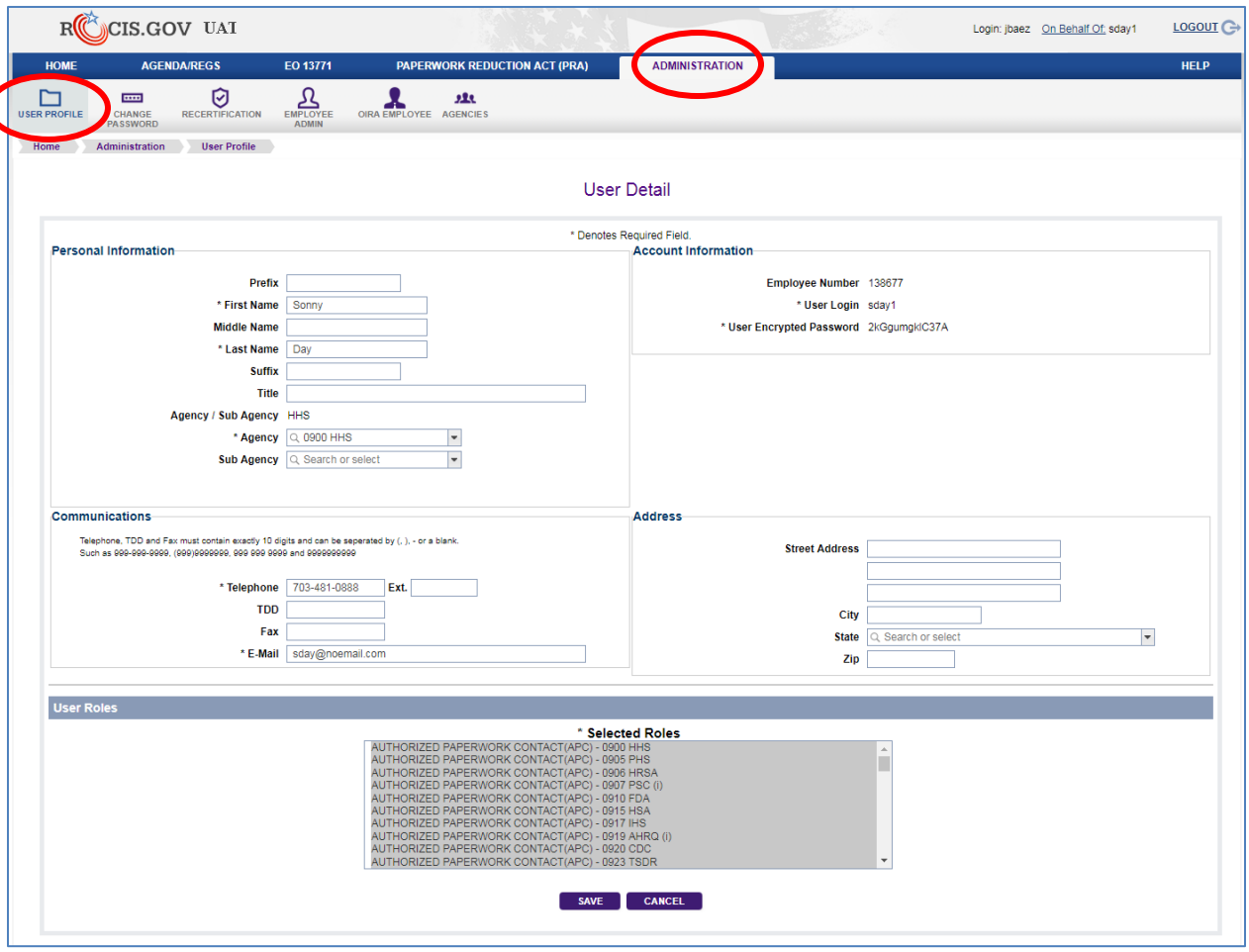


Figure 2.1: User Profile Icon and User Detail Screen

Please verify and make appropriate changes to any information, paying particular attention to your telephone number and email. Save your information. The 'Save' button is located at the bottom of the screen.

Remember to the User Profile to modify your personal information, such as your phone number or e-mail address, whenever changes occur.

Your profile will also display the role(s) that have been assigned to your user id. A list of the agency PRA roles can be found in Appendix C.

To leave the User Profile page, scroll to the bottom and click Save (if you changed anything) or Cancel. This will take you back to the ROCIS Employee Administration screen.

3. User/Contact Search

The purpose of the Employee Administration screen is to allow ROCIS users to find other ROCIS users via the search capability. For instance, if you would like to send another ROCIS user an e-mail, you are able to search by the user's agency, role and/or name.

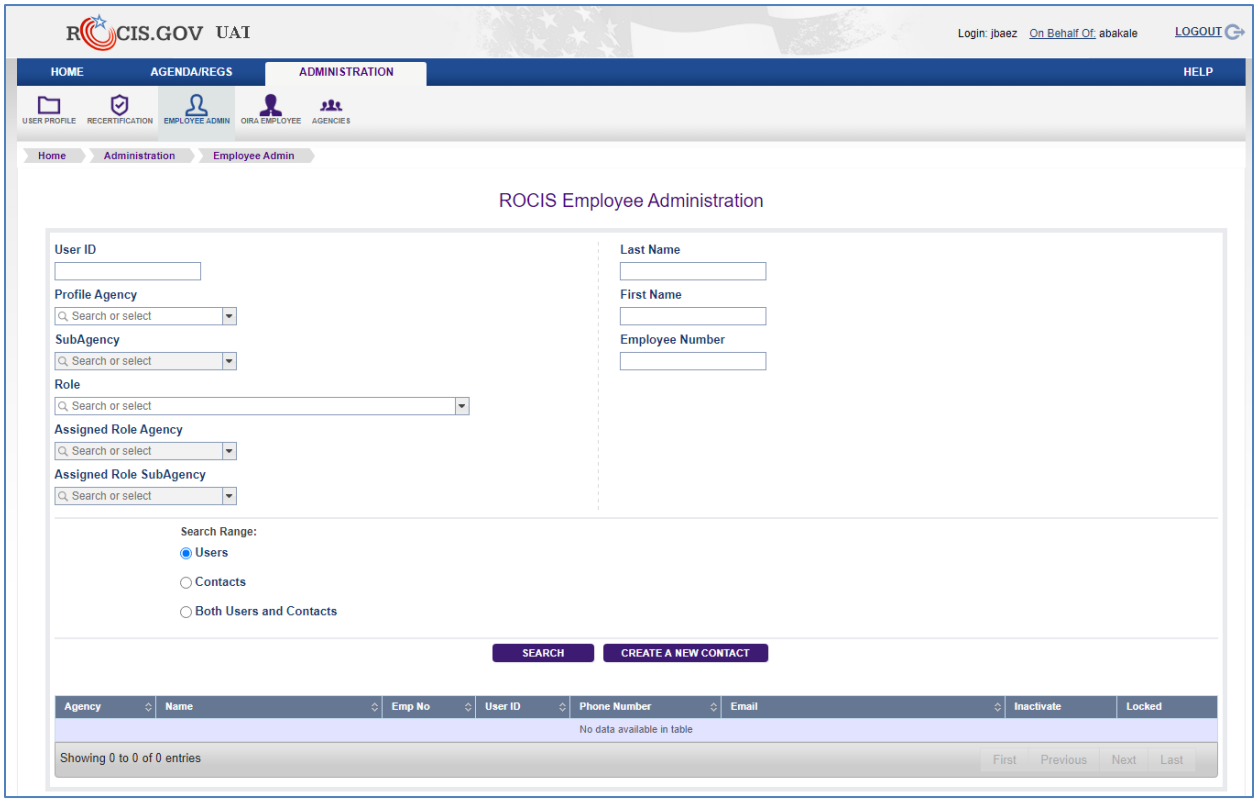


Figure 3.1: Employee Administration Screen

If you are the agency's Clearance Officer, it is a good idea to periodically check the authorized users for your agency. Simply choose the desired role (CO, CL, APC and/or PDEC) and your Assigned Role Agency and click the Search button. If there are people who have left your agency and still have active accounts, please contact the Help Desk so that the accounts can be inactivated and locked.

When you have satisfied your ROCIS administrative functions, click on the PRA tab to return to the Created Request List Inbox for Agency users.

4. User Recertification

Any user acquiring a ROCIS production account must sign a security agreement provided by RISC. The ROCIS system requires that users recertify the terms of the security agreement every year.

Two weeks before your security agreement anniversary date, ROCIS will begin to remind you that you will need to recertify. The Recertification icon can be found under the Administration tab.

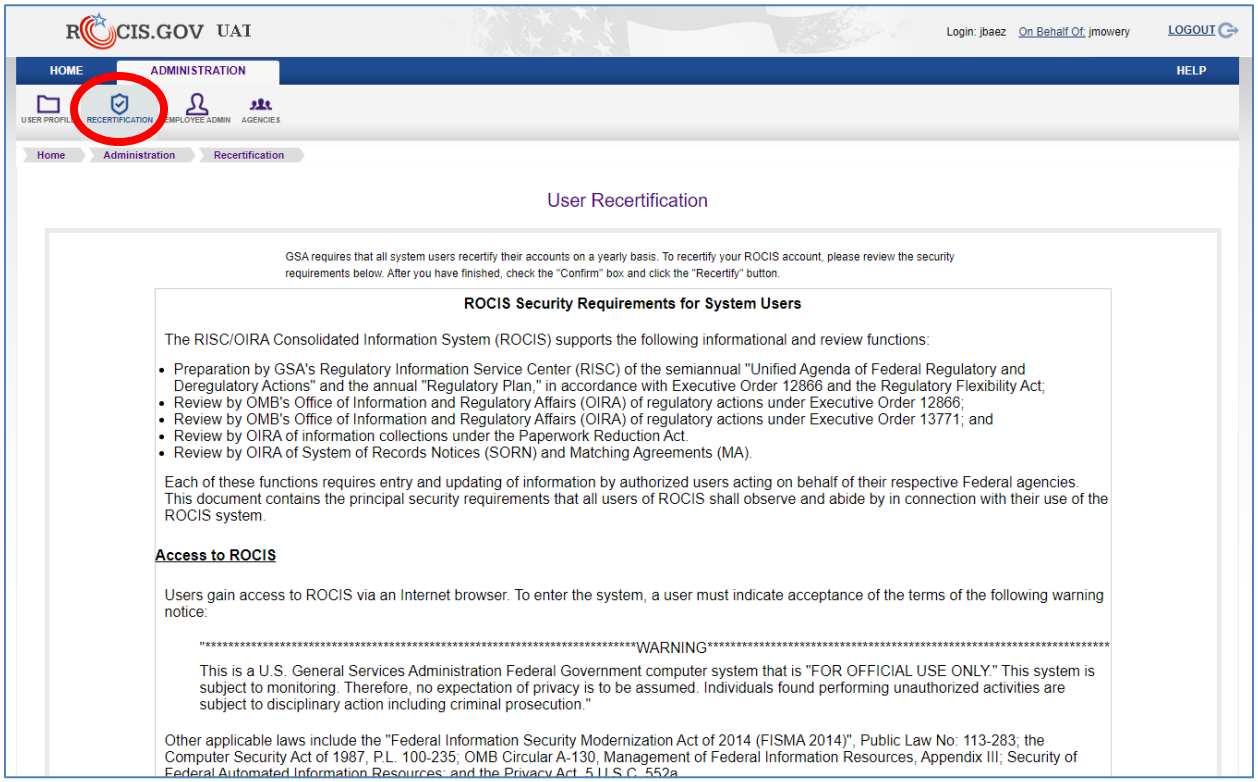
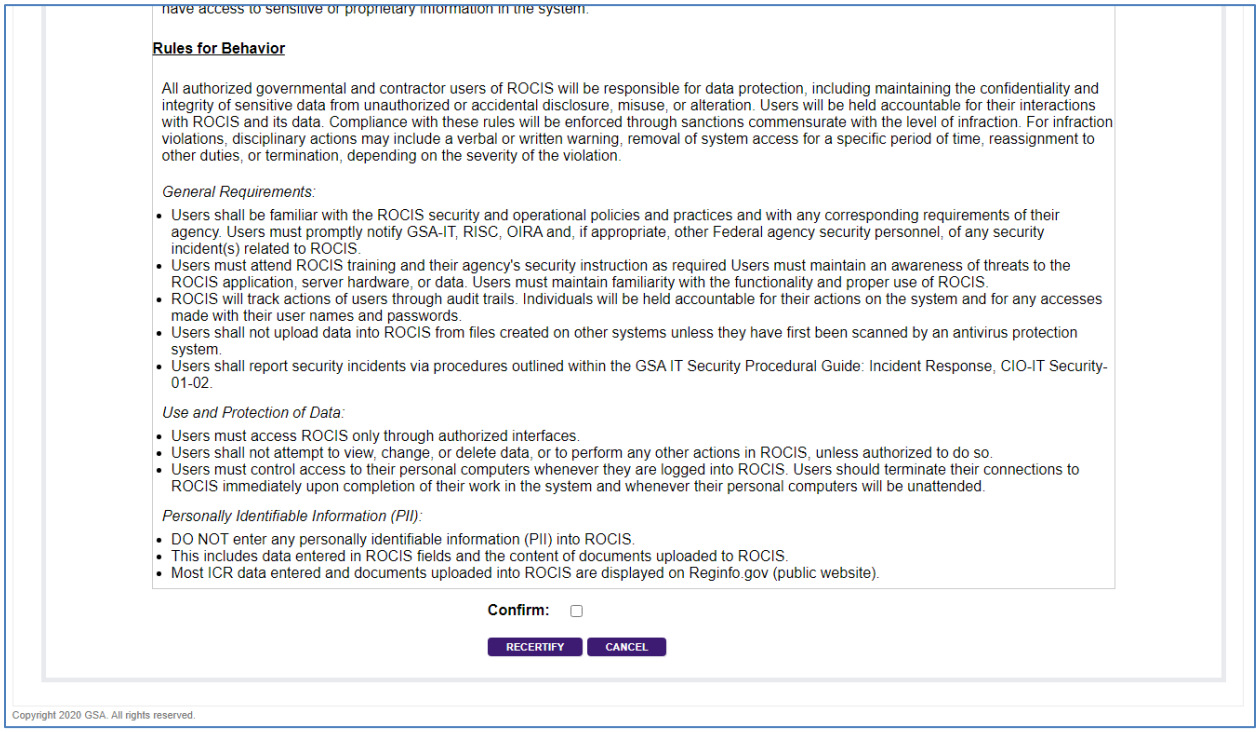


Figure 4.1: Recertification Icon in Administration Toolbar

The latest version of the ROCIS Security Agreement is displayed on the Recertification screen. After reviewing the page, check the 'Confirm' box and click the Recertify button. After successfully logging in to MAX.gov, your recertification anniversary date will be updated in ROCIS.



have access to sensitive or proprietary information in the system.

Rules for Behavior

All authorized governmental and contractor users of ROCIS will be responsible for data protection, including maintaining the confidentiality and integrity of sensitive data from unauthorized or accidental disclosure, misuse, or alteration. Users will be held accountable for their interactions with ROCIS and its data. Compliance with these rules will be enforced through sanctions commensurate with the level of infraction. For infraction violations, disciplinary actions may include a verbal or written warning, removal of system access for a specific period of time, reassignment to other duties, or termination, depending on the severity of the violation.

General Requirements:

- Users shall be familiar with the ROCIS security and operational policies and practices and with any corresponding requirements of their agency. Users must promptly notify GSA-IT, RISC, OIRA and, if appropriate, other Federal agency security personnel, of any security incident(s) related to ROCIS.
- Users must attend ROCIS training and their agency's security instruction as required Users must maintain an awareness of threats to the ROCIS application, server hardware, or data. Users must maintain familiarity with the functionality and proper use of ROCIS.
- ROCIS will track actions of users through audit trails. Individuals will be held accountable for their actions on the system and for any accesses made with their user names and passwords.
- Users shall not upload data into ROCIS from files created on other systems unless they have first been scanned by an antivirus protection system.
- Users shall report security incidents via procedures outlined within the GSA IT Security Procedural Guide: Incident Response, CIO-IT Security-01-02.

Use and Protection of Data:

- Users must access ROCIS only through authorized interfaces.
- Users shall not attempt to view, change, or delete data, or to perform any other actions in ROCIS, unless authorized to do so.
- Users must control access to their personal computers whenever they are logged into ROCIS. Users should terminate their connections to ROCIS immediately upon completion of their work in the system and whenever their personal computers will be unattended.

Personally Identifiable Information (PII):

- DO NOT enter any personally identifiable information (PII) into ROCIS.
- This includes data entered in ROCIS fields and the content of documents uploaded to ROCIS.
- Most ICR data entered and documents uploaded into ROCIS are displayed on Reginfo.gov (public website).

Confirm: ☐

RECERTIFY CANCEL

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Figure 4.2: User Recertification Screen (Bottom)

If you do not recertify through the process above BEFORE your anniversary date, ROCIS will automatically send you to the 'User Recertification' screen the next time you log in. If you do not recertify, you will be logged out. This process will be repeated until you complete the Recertification process.

When you have satisfied your ROCIS administrative functions, click on the PRA tab to return to the PRA module.

5. AGENCY INBOX AND THE NAVIGATION TOOLBAR

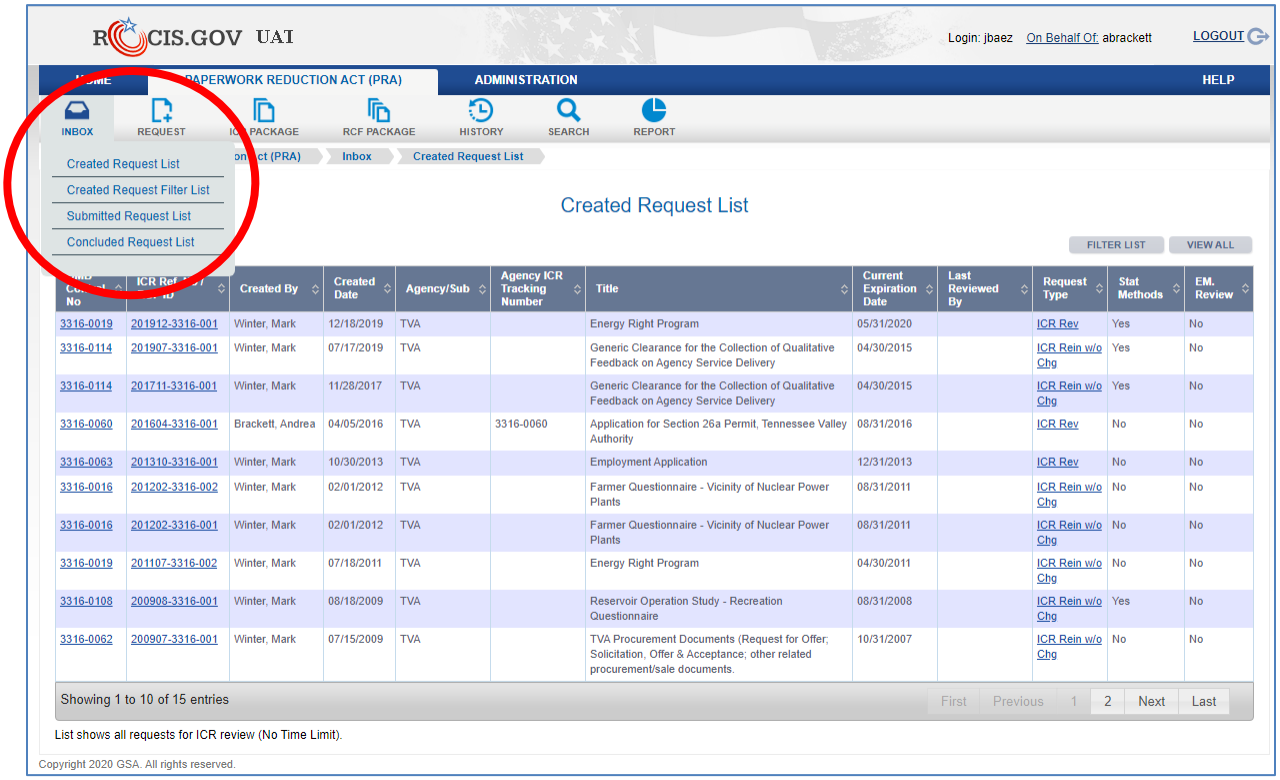
At the top of the screen is a tab for each of the ROCIS modules you have access to. Each module has its own set of tabs/icons that work like drop-down menus. Wave your mouse cursor over a tab or icon to view menu options. If no options appear, click the tab/icon to navigate to that location. These rows of tabs/icons are referred to as the Navigation Toolbar.

ROCIS provides all users with an Inbox menu for tracking the progress PRA requests. The menu includes different lists, each of which is discussed below. Wave your mouse cursor over the Inbox icon in the navigation toolbar to access the various sections:

1. Created Request List – Includes requests that have been created in ROCIS, but have not been submitted to OIRA for review. These requests may also be deleted from ROCIS (not reversible, cannot be recovered).

2. Submitted Request List – Includes requests that have been submitted to OIRA for review. It also includes requests that have been opened for amendment by OIRA.

3. Concluded Request List – Includes requests for which OIRA has completed their review. Displays last 30 days of conclusions, by default.



Control No	ICR Ref	Created By	Created Date	Agency/Sub	Agency ICR Tracking Number	Title	Current Expiration Date	Last Reviewed By	Request Type	Stat Methods	EM. Review
3316-0019	201912-3316-001	Winter, Mark	12/18/2019	TVA		Energy Right Program	05/31/2020		ICR Rev	Yes	No
3316-0114	201907-3316-001	Winter, Mark	07/17/2019	TVA		Generic Clearance for the Collection of Qualitative Feedback on Agency Service Delivery	04/30/2015		ICR Rein w/o Chg	Yes	No
3316-0114	201711-3316-001	Winter, Mark	11/28/2017	TVA		Generic Clearance for the Collection of Qualitative Feedback on Agency Service Delivery	04/30/2015		ICR Rein w/o Chg	Yes	No
3316-0060	201604-3316-001	Brackett, Andrea	04/05/2016	TVA	3316-0060	Application for Section 26a Permit, Tennessee Valley Authority	08/31/2016		ICR Rev	No	No
3316-0063	201310-3316-001	Winter, Mark	10/30/2013	TVA		Employment Application	12/31/2013		ICR Rev	No	No
3316-0016	201202-3316-002	Winter, Mark	02/01/2012	TVA		Farmer Questionnaire - Vicinity of Nuclear Power Plants	08/31/2011		ICR Rein w/o Chg	No	No
3316-0016	201202-3316-001	Winter, Mark	02/01/2012	TVA		Farmer Questionnaire - Vicinity of Nuclear Power Plants	08/31/2011		ICR Rein w/o Chg	No	No
3316-0019	201107-3316-002	Winter, Mark	07/18/2011	TVA		Energy Right Program	04/30/2011		ICR Rein w/o Chg	No	No
3316-0108	200908-3316-001	Winter, Mark	08/18/2009	TVA		Reservoir Operation Study - Recreation Questionnaire	08/31/2008		ICR Rein w/o Chg	Yes	No
3316-0062	200907-3316-001	Winter, Mark	07/15/2009	TVA		TVA Procurement Documents (Request for Offer; Solicitation, Offer & Acceptance; other related procurement/sale documents.	10/31/2007		ICR Rein w/o Chg	No	No

Figure 5.1: Created Request List with Inbox Menu

You can sort any list by any of the columns. The first time a user clicks on the column heading, the column data is sorted. Click it again to reverse the sort order.

Each of the lists in your Inbox has a Filter List page. Click the Filter List button on any list to view the fields that you can filter that list on. For example, you can use the Concluded EO Package Filter page to expand the Concluded EO List and display requests concluded more than 30 days ago.

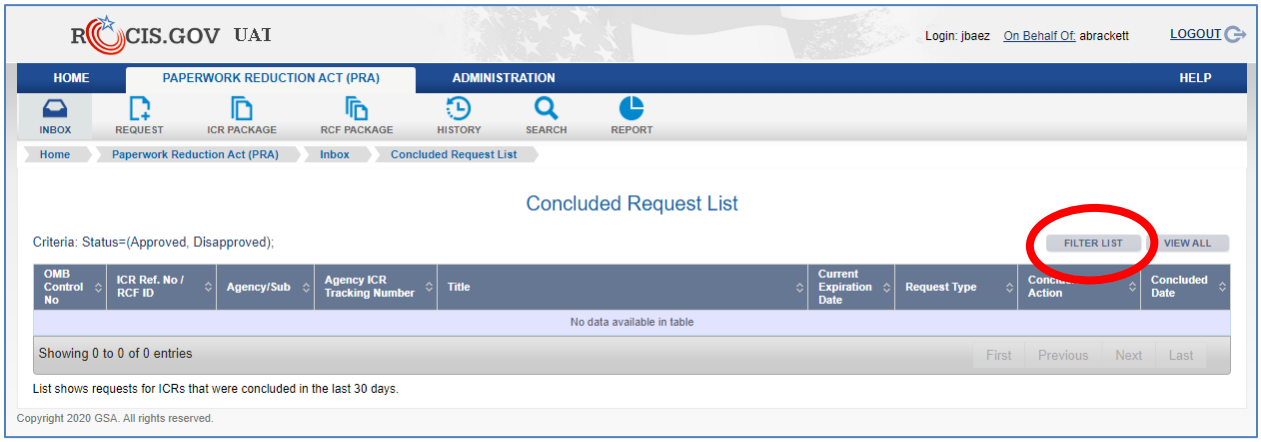


Figure 5.2: Concluded Request List with Filter List Button

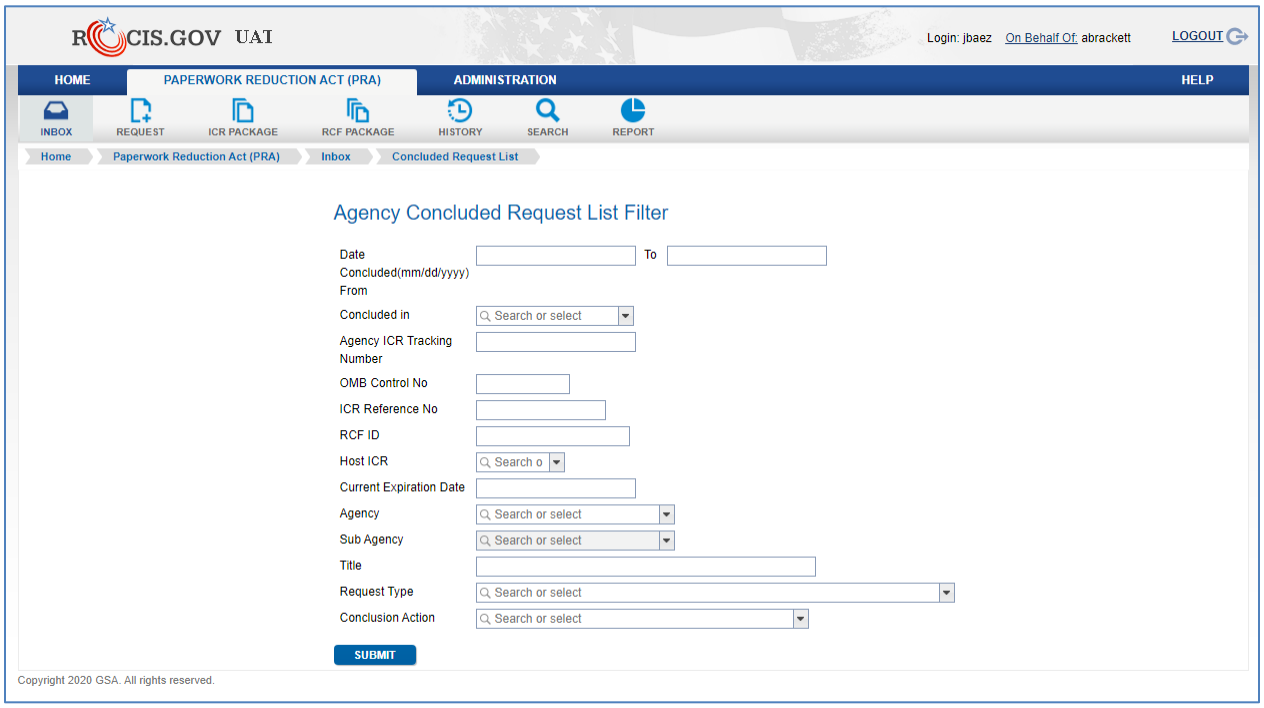


Figure 5.3: Concluded Request List Filter Screen

Each list is display in pages with 10 requests per page, by default. Click the View All button on any list to view all of the requests in that list on one page.

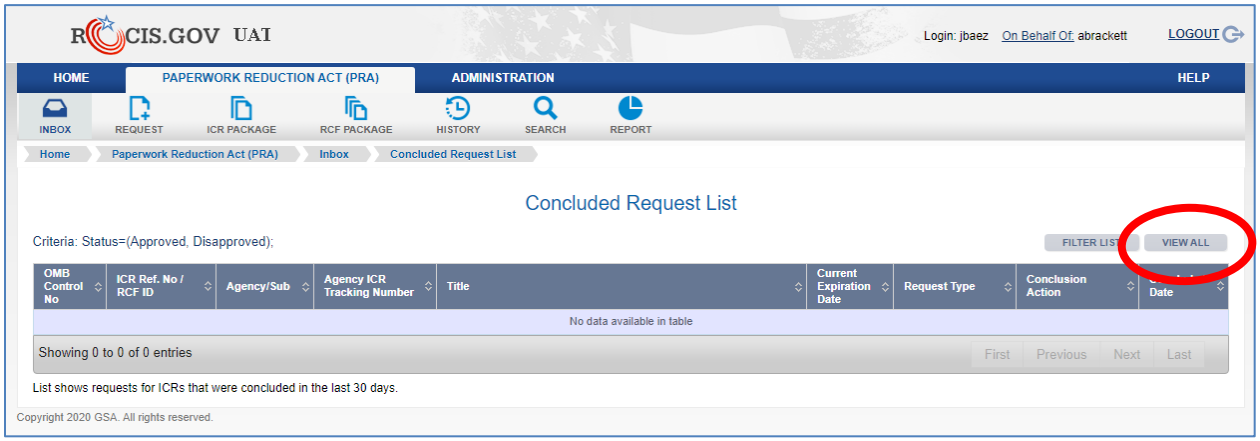


Figure 5.4: Concluded Request List with View All Button

6. CREATING AN ICR PACKAGE

There are three ways to create an ICR Package—
1. By using the Request drop down box to select the type of request you desire;
2. By finding an action in the Concluded Request List to view and from which to view and begin a new ICR, or
3. By searching for an OMB Control Number or ICR Reference Number of an existing ICR to view and from which to begin a new ICR.

Create an ICR from the Request Menu

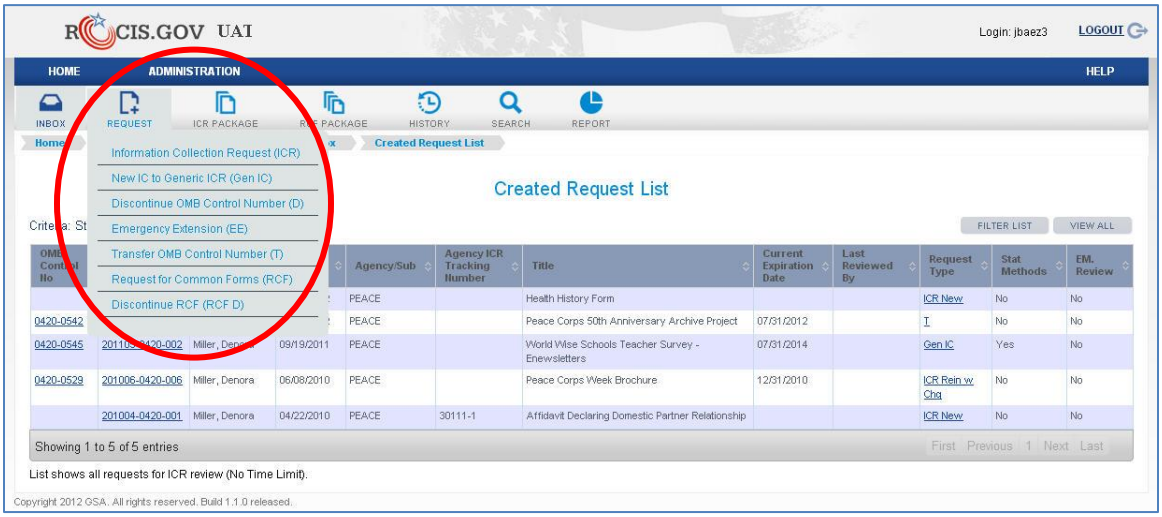


Figure 6.1: Agency Created Request Inbox with Drop Down to Create a new ICR

Select and click on Information Collection Request (ICR).

The screen below will appear.

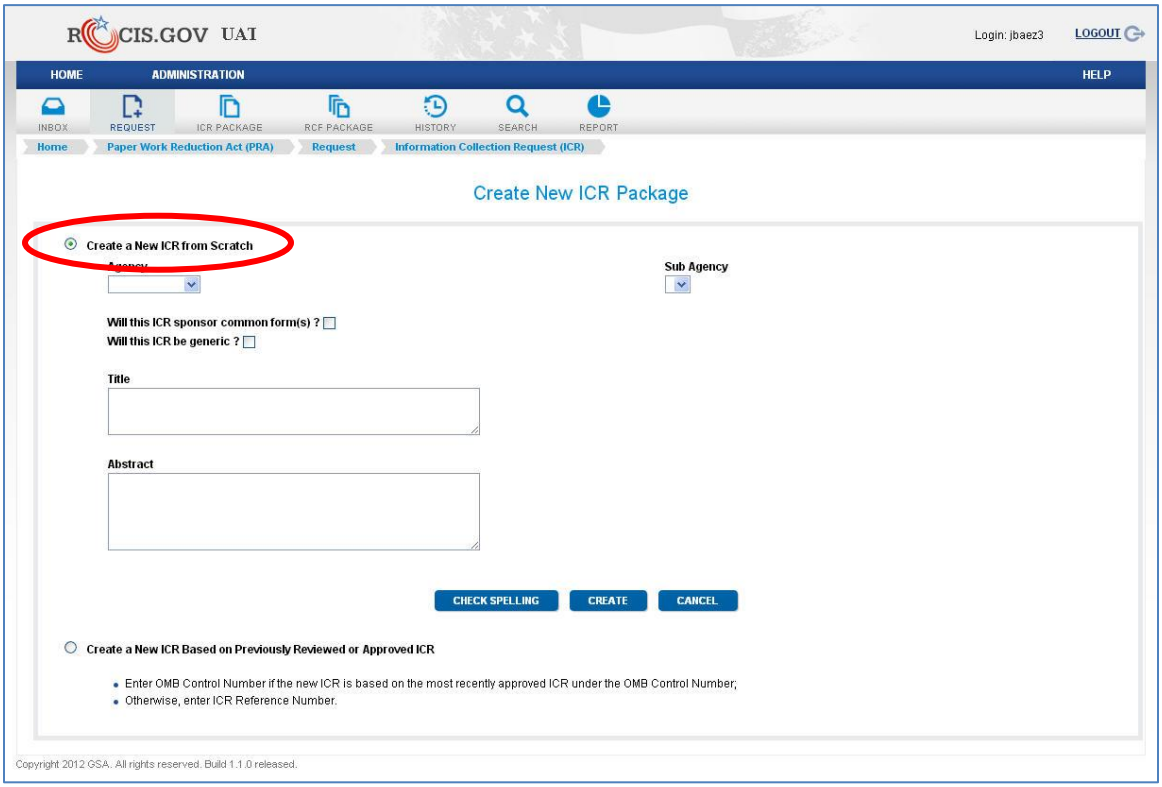


Figure 6.2: Create New ICR Package from Scratch

Use this screen to identify the Agency, Sub Agency, Title and Abstract of a new ICR that has no existing OMB Control Number (or previously begun ICR Package).

Select Create a New ICR from Scratch.

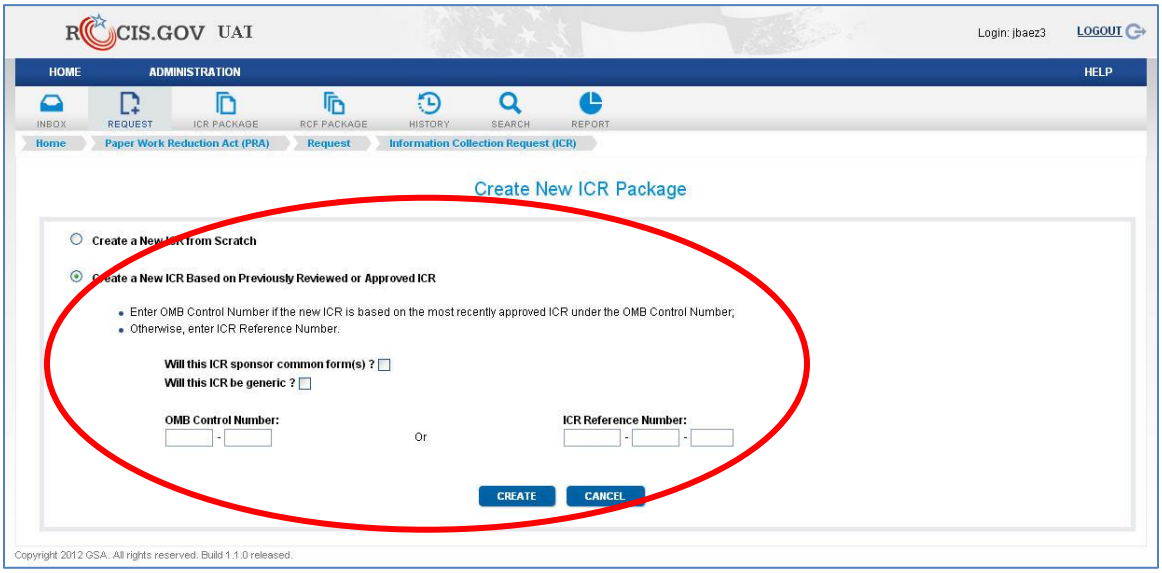


Figure 6.3: Create New ICR Package from a Previous ICR

If an OMB Control Number exists, use this screen to identify the OMB Control Number or most recently reviewed ICR under the OMB Control Number to create an ICR. Both of these lead to the Edit ICR screen. Select Create a New ICR Based on Previously Reviewed or Approved ICR.

If an OMB Control Number is entered, ROCIS will assign an ICR Reference Number and populate the screen from the most recently approved ICR under that OMB Control Number. If an ICR Reference Number is entered, ROCIS will populate the screen with the information from that ICR Reference Number. For a Final Rule, please put the ICR reference number for the ICR reviewed at the proposed rule stage when creating the ICR.

Records from the legacy OIRA data base were migrated to the ROCIS ICR Module data base. When viewing ICRs that are created from migrated data, keep in mind that some data was not collected electronically in the legacy system so the field will remain blank.

NOTE: Common Form ICRs and Generic ICRs are created differently than regular ICRs. If you check one of the boxes to indicate that you are creating a common form or generic ICR, refer to the appropriate section(s) below instructions on how to create an ICR that hosts common forms and how to create a Generic ICR and associated Generic ICs.

If the "Create a New ICR from Scratch" was selected, the Edit ICR screen will be blank except for the agency, sub agency, title and abstract you created. An ICR Reference Number is assigned by the system upon creation to uniquely identify the ICR throughout its history.

Create an ICR from a Previously Reviewed ICR

Concluded actions are only maintained in your concluded inbox for 30 days from the conclusion date.

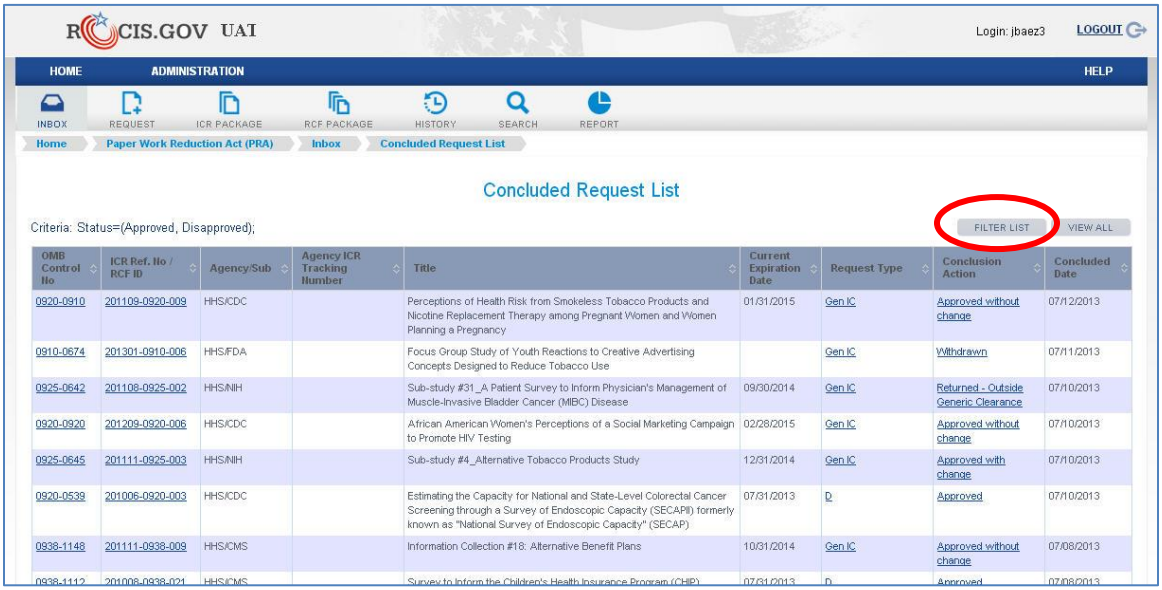


Figure 6.4: Concluded Request List Inbox with Option to Filter

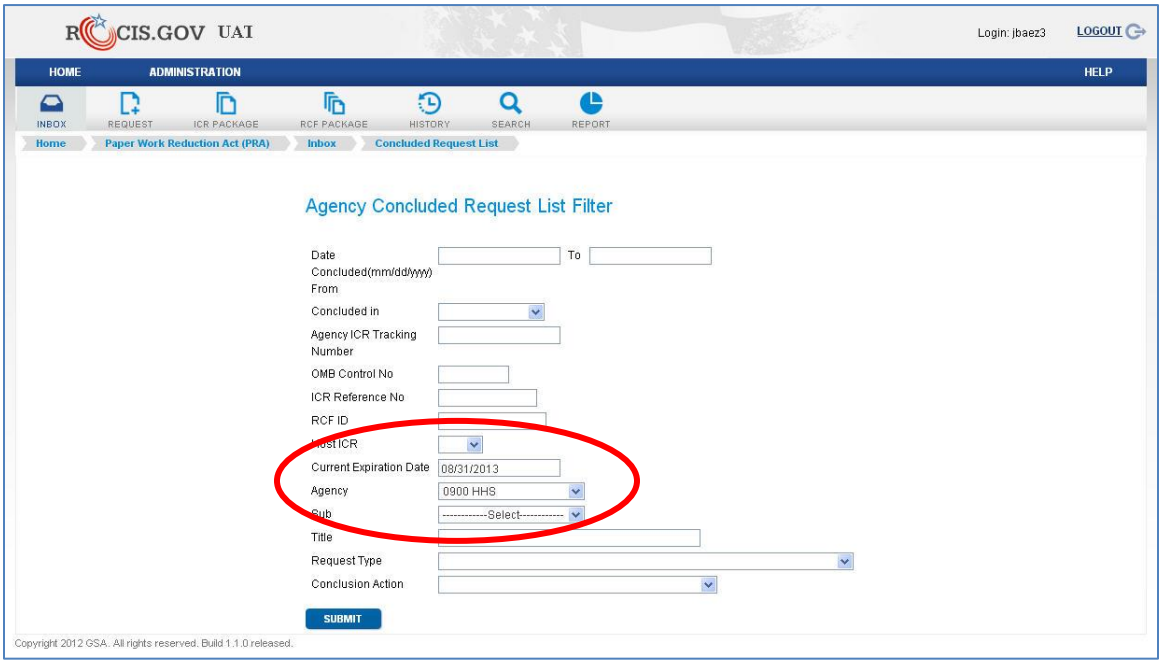


Figure 6.5: Agency Concluded Request List Filter

The result of the Agency Concluded Request List Filter search is a list of expiring collections for the selected date of 8/31/2013 from which to view the last approval and from which to create a new ICR:

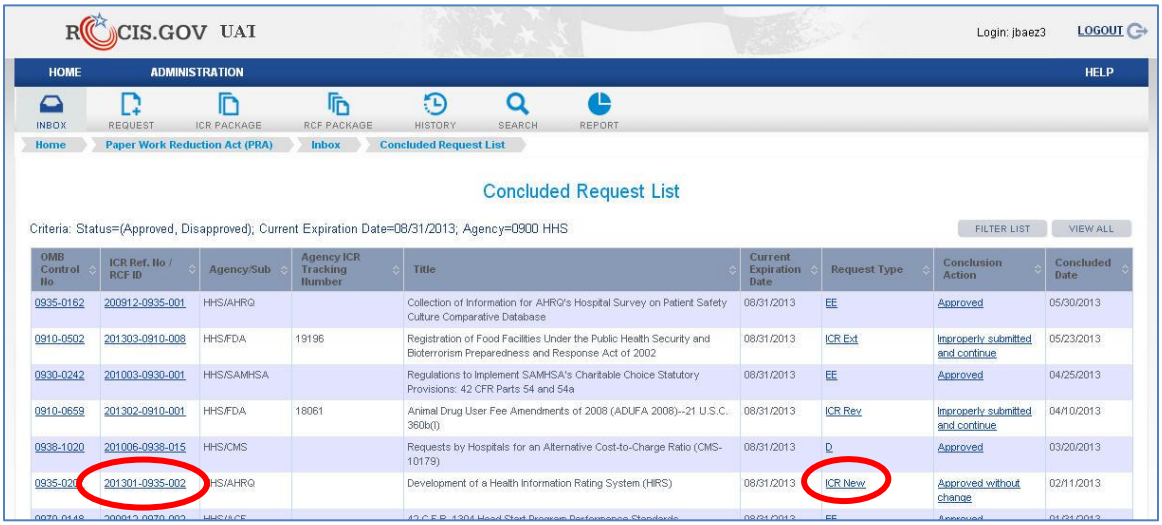


Figure 6.6: Agency Concluded Request Inbox with Links to View ICR

Select an ICR by clicking either on the ICR Ref No. or on the Request Type to View the ICR—OIRA Conclusion screen. Choose the action you wish to pursue; e.g., "Create ICR Package" from the choices in blue boxes at the bottom of the screen.

Note also the many ways you can view the ICR--from a very brief summary to the entire record—based on selection of choices in the Display Box.

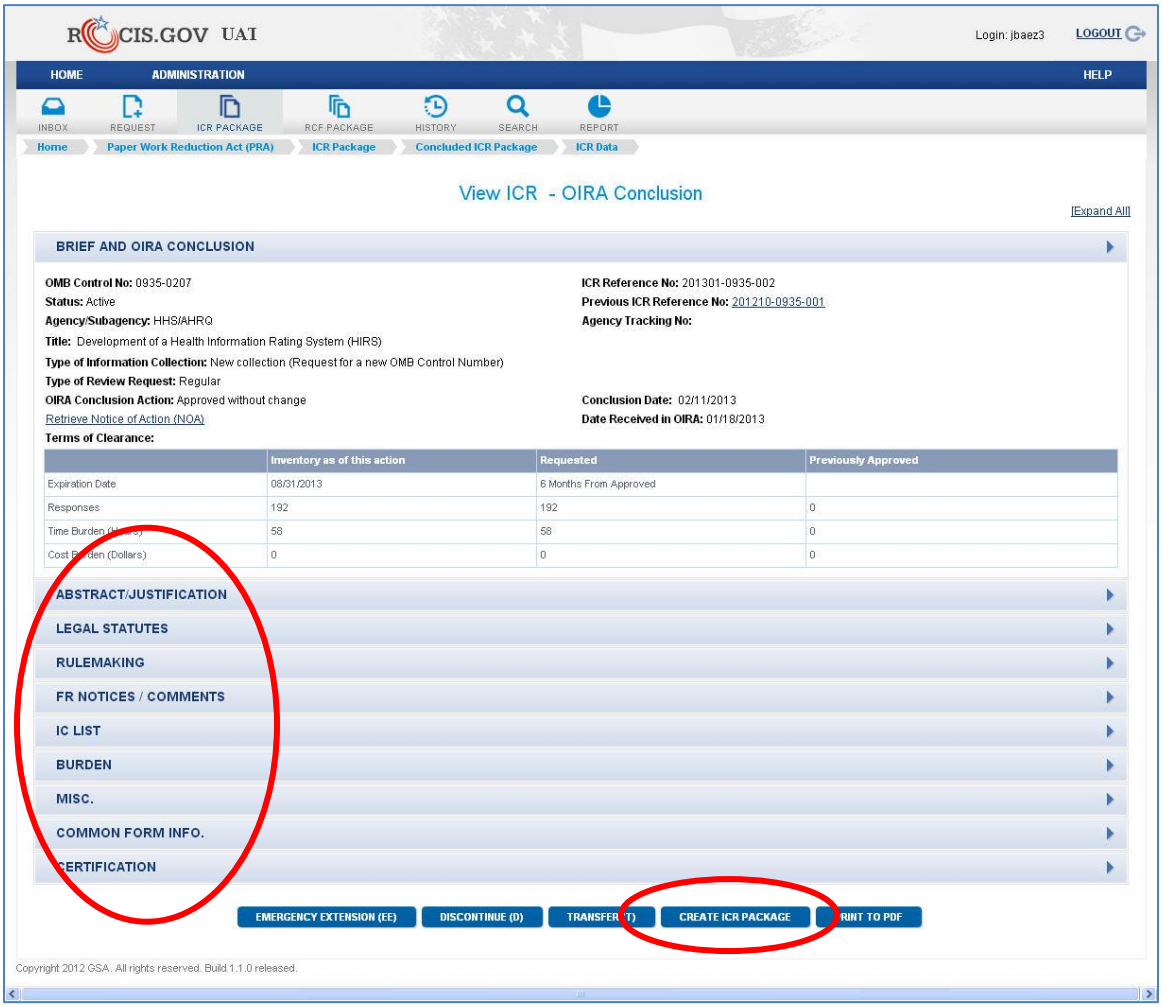


Figure 6.7: View ICR Screen with Options to View Additional Data and Create ICR Package

Create an ICR Using Simple Search (OMB Control Number)

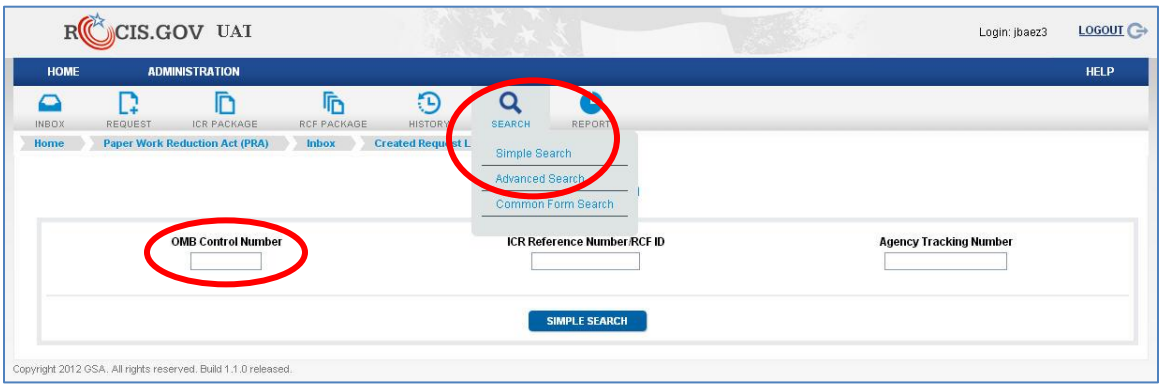
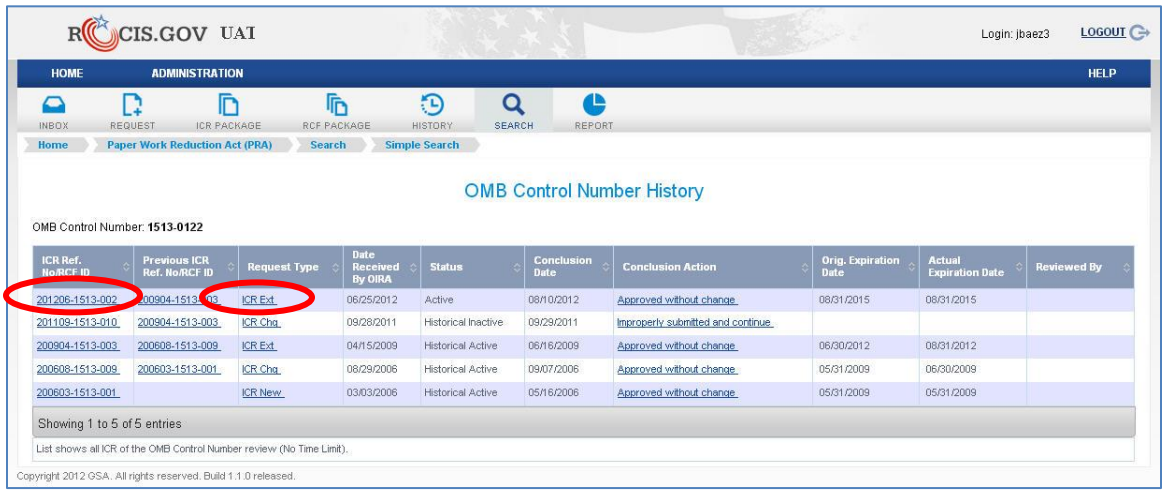


Figure 6.8: Simple Search Screen with OMB Control Number Criteria

The result is the OMB Control Number History. Find the ICR on which to base the new ICR (revision or extension or reinstatement). It may be either the most recently approved ICR or the most recently reviewed ICR—even if it wasn't approved). Change requests must always be based on the active (currently approved) ICR.

Here is the result of the search:



ICR Ref. No/RCF ID	Previous ICR Ref. No/RCF ID	Request Type	Date Received By OIRA	Status	Conclusion Date	Conclusion Action	Orig. Expiration Date	Actual Expiration Date	Reviewed By
201206-1513-002	200904-1513-003	ICR Ext	06/25/2012	Active	08/10/2012	Approved without change	08/31/2015	08/31/2015	
201109-1513-010	200904-1513-003	ICR Chg	09/28/2011	Historical Inactive	09/29/2011	Improperly submitted and continue			
200904-1513-003	200608-1513-009	ICR Ext	04/15/2009	Historical Active	06/16/2009	Approved without change	06/30/2012	08/31/2012	
200608-1513-009	200603-1513-001	ICR Chg	08/29/2006	Historical Active	09/07/2006	Approved without change	05/31/2009	06/30/2009	
200603-1513-001		ICR New	03/03/2006	Historical Active	05/16/2006	Approved without change	05/31/2009	05/31/2009	

Figure 6.9: OMB Control Number History Screen

Click on the ICR Reference Number or the Request Type and you will be brought to the same View ICR-OIRA Conclusion screen from which to make your choice of action at the bottom of the screen; e.g., Create ICR Package.

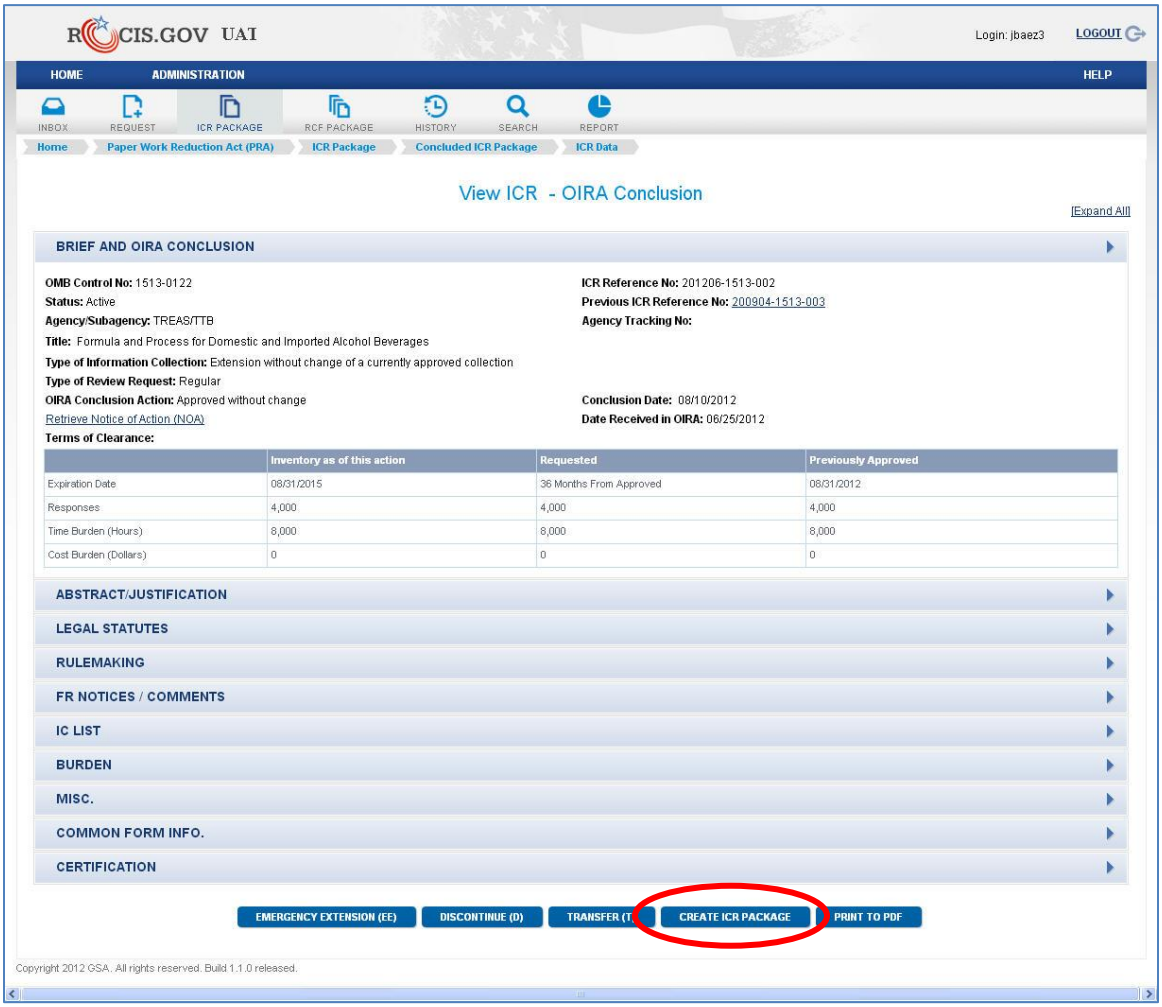


Figure 6.10: View ICR Screen with Option to Create ICR Package

7. UPDATING AN ICR PACKAGE

Similar to the former paper process, the electronic ICR package contains four basic elements:

- ✓ ICR Data (equivalent to the former 83I--one per package)
- ✓ IC (Information Collection) form(s), survey(s) or other collection instrument(s) and/or CFR citation(s) requiring collections- at least one IC or CFR citation per ICR
- ✓ ICR Documents
    - Supporting Statement A
    - Supporting Statement B (when statistical ……)
    - Supplemental Documents
        - Draft (not published) Proposed Rule
        - Draft (not published) Final Rule
        - Draft Federal Register Notice
        - Justification for a no material/non-substantive change (old 83C)
        - Supplemental Documents not fitting the other categories
    - Public Comments
- ✓ ICR Certification (back of old 83I) signifying adherence to provisions of the PRA

The Edit ICR screen is similar to the 83I in the paper process and is the foundation of the package. While working on the Current ICR package, you may use ICR Package and History tabs on the toolbar to assist you.

Please note, at any point prior to submission of the ICR request, an Authorized Paperwork Contact (APC) can lock the request, preventing all users from making edits to the request until it is unlocked.

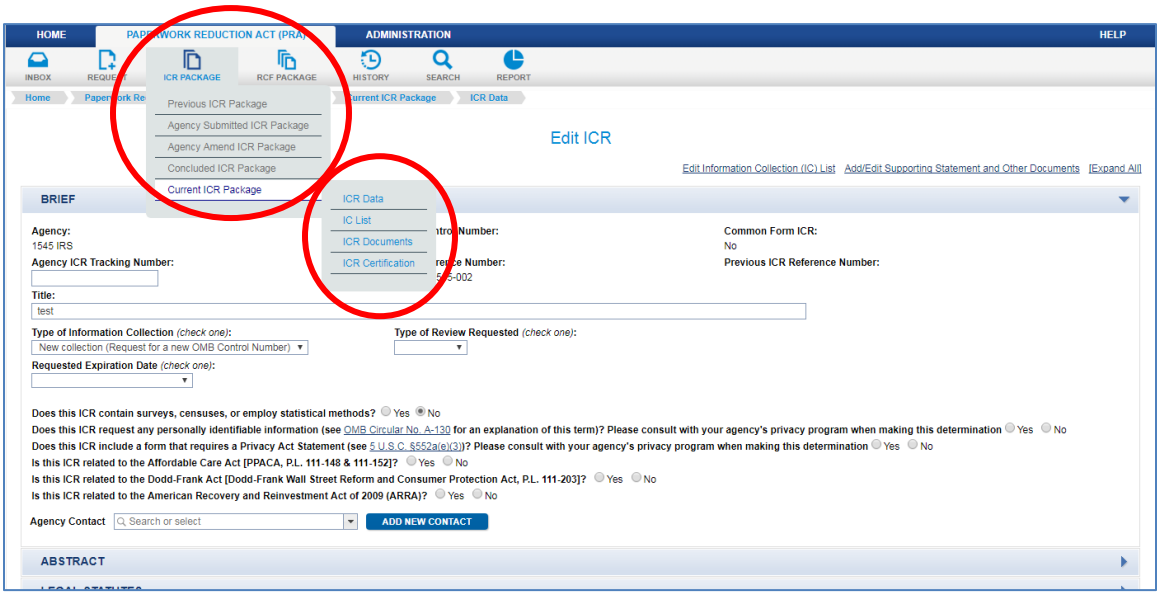


Figure 7.1: Edit ICR Screen with Links to other ICR Screens

Completing the Fields of the EDIT ICR Screen

These instructions should be used in conjunction with 5 CFR 1320, which provides information on coverage, definitions, and other matters of procedure and interpretation under the Paperwork Reduction Act of 1995.

DO NOT enter any personally identifiable information (PII) into ROCIS. This includes data entered in ROCIS fields and the content of documents uploaded to ROCIS. Essentially all ICR data entered and documents uploaded into ROCIS are displayed on Reginfo.gov (public-facing website).

1. Agency/Sub agency of the originating request
Provide the four digit agency code for your agency or sub agency originating the request. For most cabinet-level agencies, a sub agency designation is also necessary. For non-cabinet agencies, the sub agency designation is generally unassigned.

2. OMB Control Number
   a. If the information collection in this request has been assigned an OMB Control Number previously, enter the number.
   b. If the information collection in this request has not been assigned an OMB Control Number, one will be assigned upon conclusion of the review by OIRA.

3. Agency Tracking Number
This data item was provided in ROCIS at the request of agencies. It is not edited by ROCIS, and thus can be used to input any information which might be helpful to distinguish ICRs. For instance, agencies without sub agency codes can use the Agency Tracking Number to identify

ICRs to divisions, branches or individuals. This data item may be used as one criterion for an advanced search.

4. ICR Reference Number and Previous ICR Reference Number
This is assigned and populated by the ROCIS system based on the Create action. The format is:
YYYYMM of the month of origin
-Agency/Sub Agency code
-3 digit sequential number assigned per creation per month.

5. Title
Provide the official title of the information collection request. If an official title does not exist, provide a description which will distinguish this collection request from others and enable text searches on titles.

6. Type of information collection (select one)
a. Select "New collection" when the collection has not previously been used or sponsored by the agency.
b. Select "Revision" when the collection is currently approved by OMB, and the agency request includes a material change to the collection instrument, instructions, its frequency of collection, or the use to which the information is to be put.
c. Select "Extension" when the collection is currently approved by OMB, and the agency wishes only to extend the approval past the current expiration date without making any material change in the collection instrument, instructions, frequency of collection, or the use to which the information is to be put.
d. Select "Reinstatement without change" when the collection previously had OMB approval, but the approval has expired or was discontinued before this submission was made, and there is no change to the collection.
e. Select "Reinstatement with change" when the collection previously had OMB approval, but the approval has expired or was discontinued before this submission was made, and there is some change to the collection.
f. Select "Existing collection in use without OMB control number" when the collection is currently in use but does not have an OMB control number.
g. Select Nonmaterial/Non-substantive Change to perform the function of the former 83C Change Sheet. (Upload—electronically attach—your explanation of the requested change in Supplemental Documents. Be sure to indicate that the document type is 'Justification).

7. Type of review requested (select one)
a. Select "Regular" when the collection is submitted under 5 CFR 1320.10, 1320.11, or 1320.12 with a standard 60 day review schedule.
b. Select "Emergency" when the agency is submitting the request under 5 CFR 1320.13 for emergency processing and provides the required supporting material. Provide the

date by which the agency requests approval and the justification in the text box presented upon selection of “Emergency.”
c. Select "Delegated" when the agency is submitting the collection under the delegated authority conditions OMB has granted the agency.

8. Requested expiration date
a. Select "Three years" if the agency requests a three year approval for the collection.
b. Select "Other" if the agency requests approval for less than three years. Specify the month and year of the requested expiration date.
c. The maximum request for an Emergency ICR is 6 months.

9. Does this ICR contain surveys, censuses, or employ statistical methods?
Select "Yes" if the information collection uses statistical methods such as sampling or imputation. Generally, select "No" for applications and audits (unless a random auditing scheme is used). Select "Yes" for statistical collections, most research collections, and program evaluations using scientific methods. For other types of data collection, the use of sampling, imputation, or other statistical estimation techniques should dictate the response for this item. If ‘Yes’ is selected, ensure that Supporting Statement B is provided under the ‘Manage Documents’ tab.

10. Does this ICR request any personally identifiable information?
Please consult with your agency’s privacy program when making this determination. If “Yes,” address accordingly in Supporting Statement A. To learn more about PII, click the link to OMB Circular No. A-130 on the screen.

11. Does this ICR include a form that requires a Privacy Act Statement?
Please consult with your agency’s privacy program when making this determination. If “Yes,” address accordingly in Supporting Statement A. To learn more about Privacy Act Statements, click the link to 5 U.S.C. § 552a(e)(3) on the screen.

12. Is this ICR related to the Affordable Care Act [PPACA, P.L. 111-148 & 111-152]?
If this ICR is related to the Affordable Care Act, select Yes. Otherwise, select No.

13. Is this ICR related to the Affordable Dodd-Frank Act [Dodd-Frank Wall Street Reform and Consumer Protection Act, P.L. 111-203]?
If this ICR is related to the Dodd-Frank Act, select Yes. Otherwise, select No.

14. Is this ICR related to the American Recovery and Reinvestment Act of 2009 (ARRA)?
If this ICR is related to the ARRA, select Yes. Otherwise, select No.

15. Agency Contact
Provide the name and telephone number of the agency person best able to answer questions regarding the content of this submission. If sensitive to having this name published on the

ROCIS website, http://www.reginfo.gov, please consider using the name of the agency's Clearance Officer.

A drop down list is provided of persons who were previously listed as agency contacts. If the name of this contact is in the list, simply select it. If the name of the person you want to reference is not in the list, you will need to add the individual as a contact. To do that, select the 'Add New Contact' button.

The 'Add Contact' process begins with an administrative task 'ROCIS Contact Administration'. Enter some portion of the name that you want to locate, and then click on the 'Search' button.

The search results will be displayed at the bottom of the screen. The persons located are not limited to ICR contacts. They represent all types of ROCIS contacts, including those for the agenda module, the EO Reg Review module and the SORN module.

If you see the name that you want to add as a contact, click on the name in the search result portion of the page.

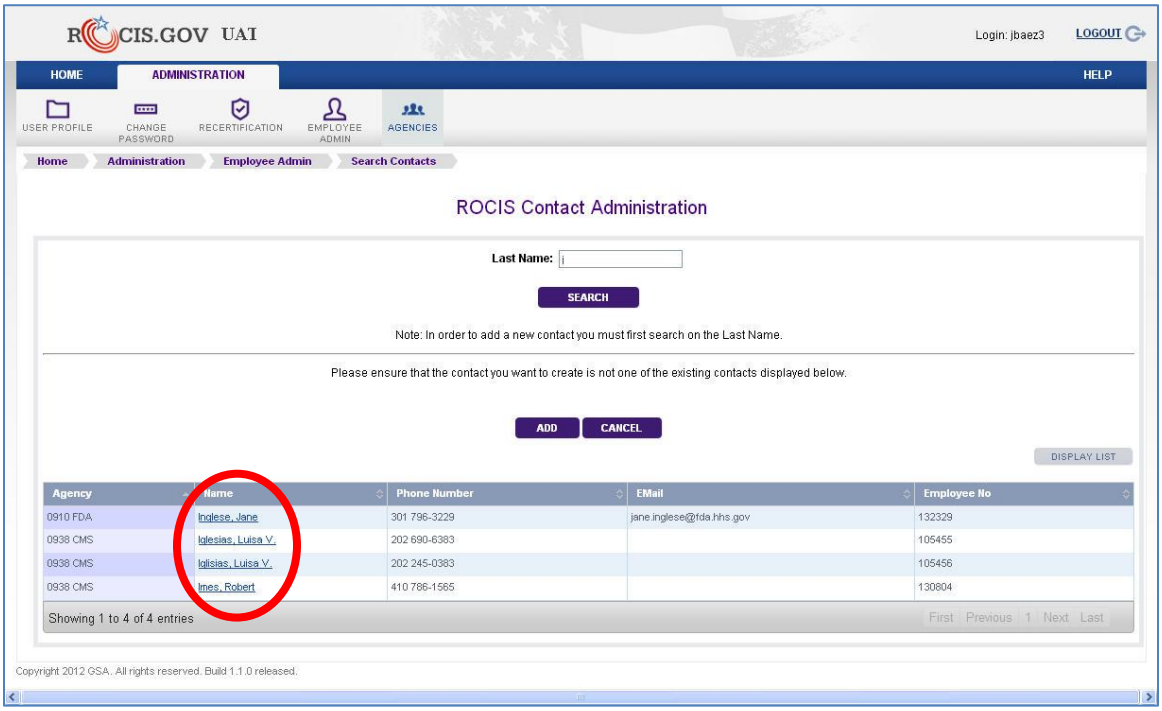


Figure 7.3: Contact Administration Screen

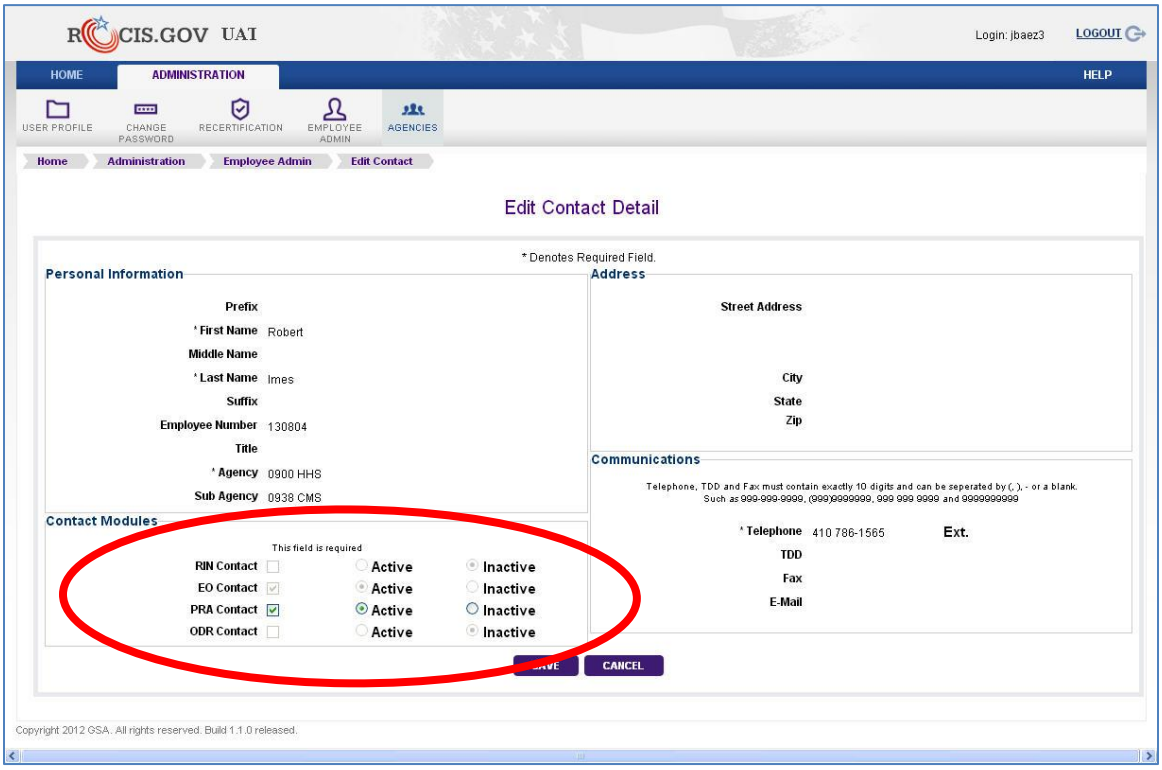


Figure 7.4: Contact Detail Screen

To effect the change, scroll down to the bottom of the screen and click on the 'Save' button. After the information is saved, you will be returned to the Edit ICR screen.

If the contact doesn't exist in ROCIS, click the Add button to create a new contact.

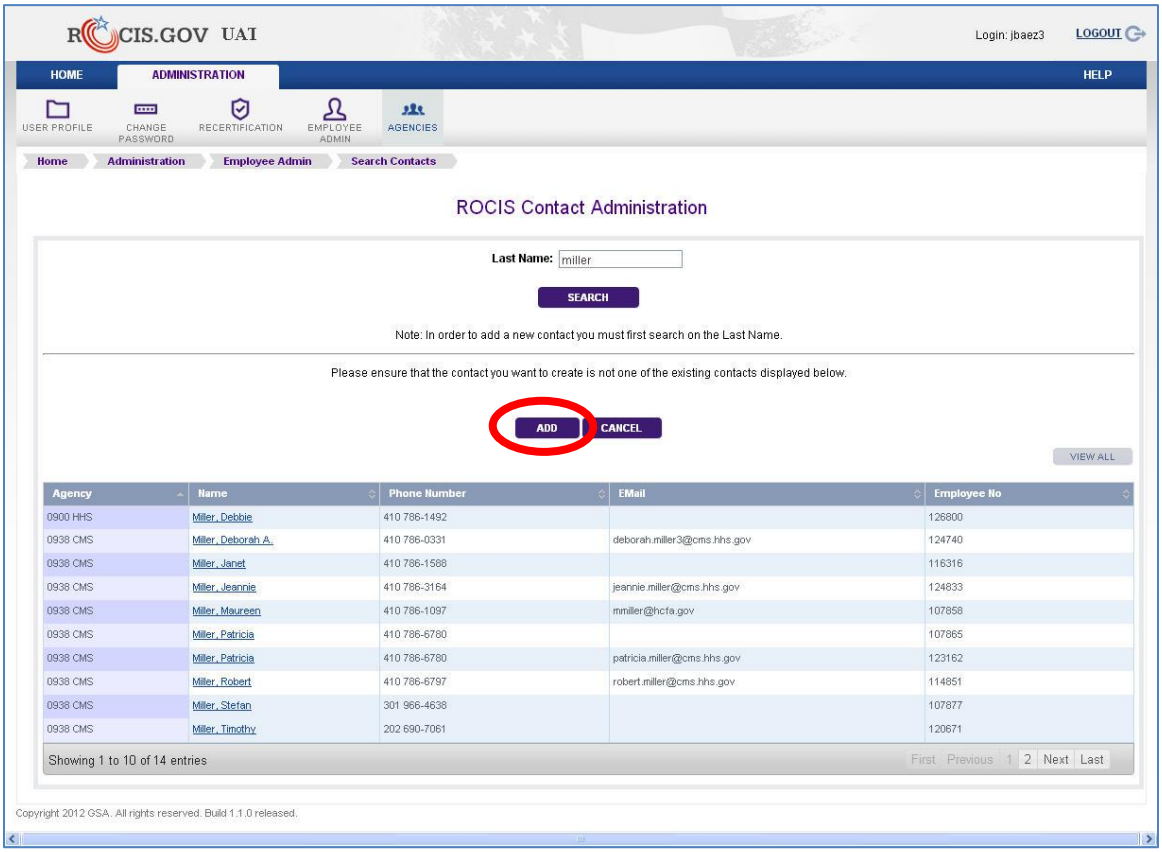


Figure 7.5: Contact Administration Screen with Add Button

The 'New Contact Detail' screen captures information about the new contact. Any data item with an asterisk in front of the tag is a required field. Although 'Email' is not required, it is highly desirable that it be entered.

The agency item has a drop down list from which the agency or sub-agency for the contact can be selected. This is an important decision if you are associated with a cabinet agency (except VA) or EPA. These have an agency level code which ends with '00', and a number of sub-agencies. If the contact is associated with the agency code, he will appear in the drop down list for any sub-agencies that are part of that agency. If he is associated with a sub-agency, he will only appear in the drop down list for that sub-agency.

Click 'Create Contact' at the bottom of the screen. The new contact will be saved, and you will be returned to the 'ICR Data' screen. All of the contacts that you have selected will be displayed. You can manipulate the order of the contacts by changing the number to the right of the contact information. You can also remove a contact by clicking on 'remove'.

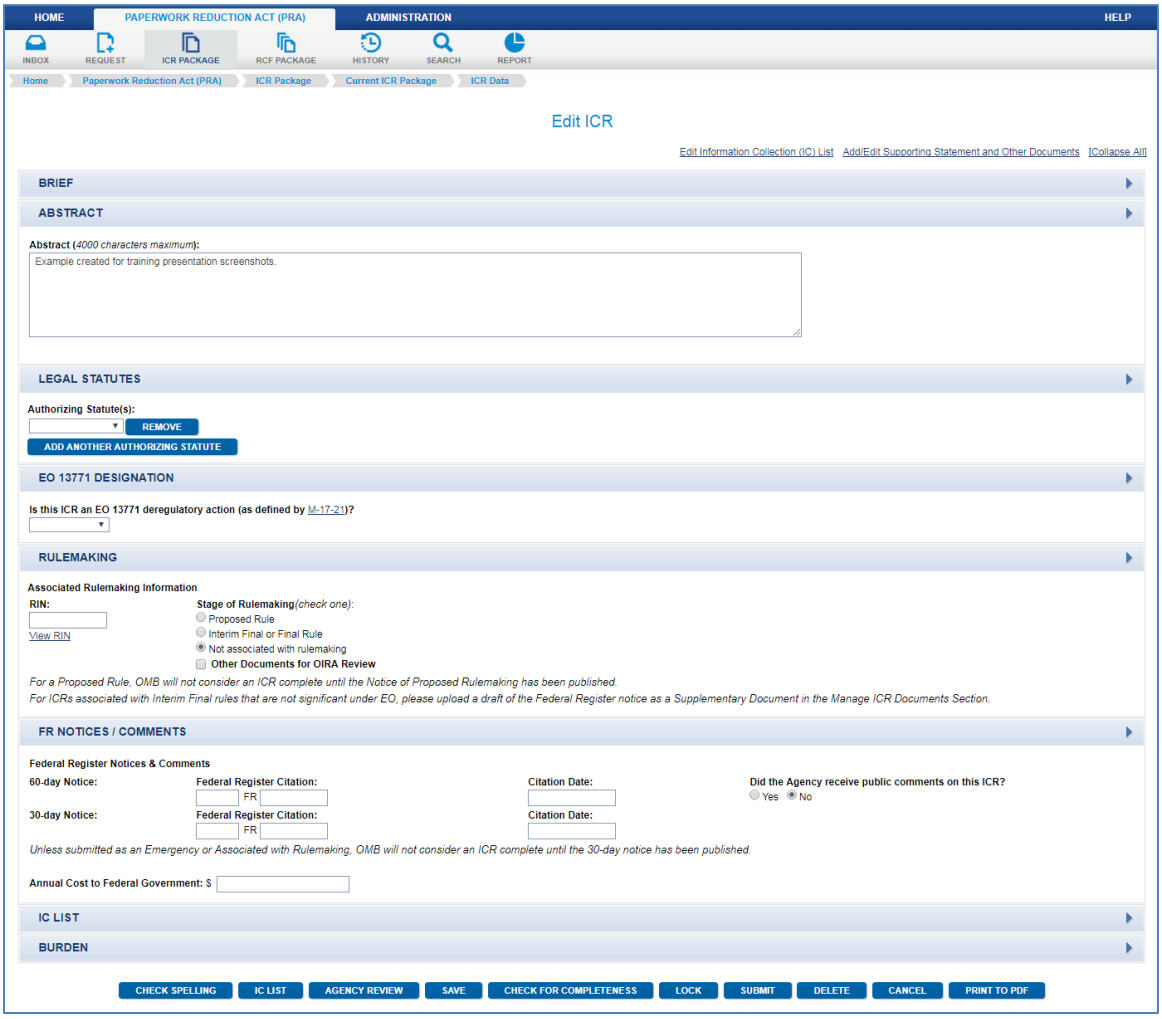


Figure 7.6: Edit ICR Screen (continued)

16. Abstract

Provide a statement, limited to 4,000 characters of text, covering the agency's need for the information, uses to which it will be put, and a brief description of the respondents. You may want to include keywords (descriptors) from the "Federal Register Thesaurus of Indexing Terms" that describe the subject area(s) of the information collection in titles and abstracts.

17. Authorizing Statute

Provide the statute that is the source of the ICR or the source of the associated rulemaking, whichever is more appropriate. If neither is appropriate, provide the authorizing statute for the program or for the agency or leave blank.

18. EO 13771 Designation

This is not a required field. Select the appropriate option from the values provided, if applicable (see M-17-21 for more information).

Deregulatory - “an action that has been finalized and has total costs less than zero”;

19. Associated Rulemaking Information
Select ‘Proposed Rule’, ‘Interim Final or Final Rule’, ‘Not associated with rulemaking’ or ‘Other Documents for OIRA Review’ as appropriate. If the ICR is associated with a current rulemaking, enter the RIN number, the Federal Register Citation and the Citation Date that the rule text for that stage was published. For a proposed rule, OMB will not consider an ICR complete until the Notice of Proposed Rulemaking has been published.

You do not need to attach the rule unless it has not been published (i.e., Federal Register information is blank). If this is the case, check the appropriate stage of rulemaking and upload (electronically attach) the draft rule in the Manage Documents task. Be sure to indicate the document type as ‘proposed rule’ or ‘final rule’. For ICRs associated with Interim Final rules that are not significant under EO 12866, please upload a draft of the Federal Register notice with a document type of ‘draft Federal register notice’. More information on uploading documents can be found in the section ‘Uploading ICR Documents’.

An ICR associated with a final rule can be submitted for regular review with no 60-day or 30-day notices if a previous ICR under the same OMB Control # for the same RIN is "Comment filed on proposed rule".

If you are working on an ICR involving guidance documents, you should indicate that by checking the box ‘Other Documents for OIRA Review’. For more information on Guidance Documents, refer to the OMB memorandum.

20. Federal Register Notices and Comments
Enter the Federal Register Citations and Citation Dates of the 60- and 30-day notices for the ICR. You do not need to provide a copy of the FR notice. However, if you wish to provide a draft Federal Register notice for a request for an Emergency ICR, for instance, upload (electronically attach) it in the “Manage Documents; task, clearly indicating a document type of draft Federal Register Notice. Unless submitted as an Emergency or Associated with Rulemaking, OMB will not consider an ICR complete without the 30-day notice publication citation.

21. Did the Agency receive public comments on this ICR?
If comments were not received, select “No.” If comments were received, select “Yes,” and summarize public comments received and describe actions taken by the agency in response to these comments in Supporting Statement A. Specifically address comments received on cost and hour burden. Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported. Consultation with representatives of those from whom

information is to be obtained or those who must compile records should occur at least once every 3 years - even if the collection of information activity is the same as in prior periods. There may be circumstances that may preclude consultation in a specific situation. These circumstances should be explained.

Public comments may be uploaded in ICR Documents, especially if the comments are not available through the Federal Docket Management System or other electronic means that can be made available to the OIRA desk officer. Comments received by OIRA in response to the 30-day notice will be uploaded by OIRA. See the 'Uploading ICR Documents' section for uploading comments. When providing multiple comments, it is adequate to provide a representative comment document.

22. Annual Cost to Federal Government

Provide estimated annualized cost to the Federal government, if any, for implementing the collection. In Supporting Statement A, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without this collection of information. Do not use commas or a '$' sign.

If the respective ICR is a Common Form Host ICR, please only include costs incurred by the Host Agency. Using Agencies will submit their own costs for collecting the information.

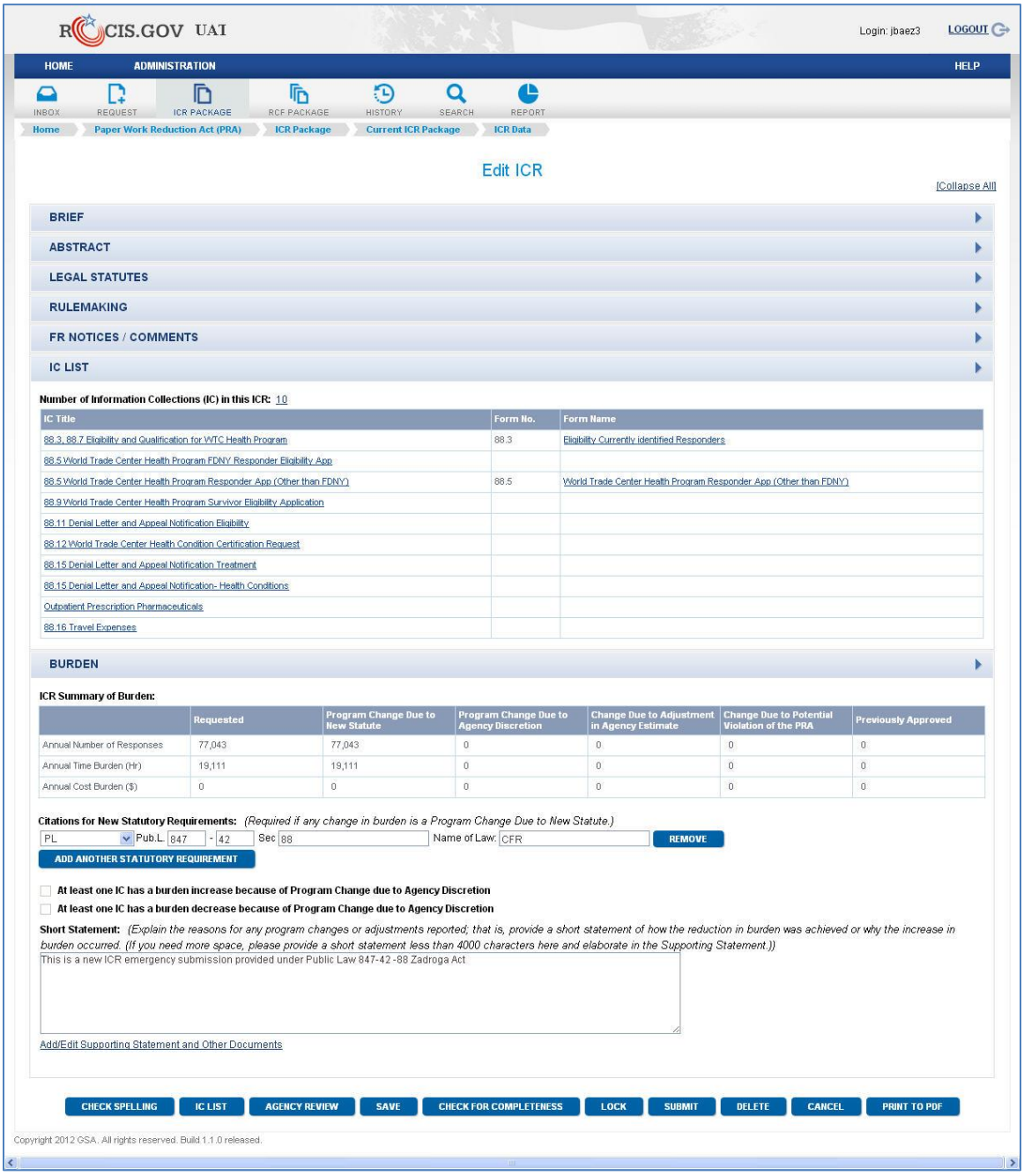


Figure 7.7: Edit ICR Screen (continued)

23. ICR Summary of Burden

Burden is accounted for at the information collection (IC) level; that is, per collection, whether one collection or multiple collections within one ICR. An IC is a set of information collected by an agency that is associated with a given affected public, obligation to respond, and line of business. The set of information may be defined by the instrument (e.g., a form), an activity (e.g., loans, filing taxes), or any other logical grouping determined by the agency that will

provide explicit burden estimates by affected public, obligation to respond, and line of business.

Therefore, the Edit ICR page will display the sum of the burden entered on the burden worksheets for each IC. To enter your burden request, SAVE the ICR Data by clicking on Save at the bottom of the Edit ICR screen, and move to the IC List.

8. Creating an Information Collection

The first step to creating or editing an IC is to save the ICR Data and click on "Add/Edit Information Collections" hotlink on the Edit ICR screen OR to select IC List from the drop down list of choices in the Current ICR Package under the ICR Package icon in the navigation toolbar. Either choice will take you to the Add/Edit Information Collection screen below.

Data from OIRA's legacy data base has been migrated to the ROCIS ICR Module. Each existing OMB Control Number has been assigned one IC that contains all of the form numbers and all of the burden hours and costs previously associated with the OMB Control Number. Click on the IC Title of the migrated IC to open the Edit IC screen and proceed to review, correct, modify, and supplement the legacy "migrated" data to form the IC.

When creating new ICRs, you will need to choose the Add IC button on the Add/Edit Information Collections screen below to enter the IC information. Click the Remove radio button to remove a previously approved IC from the current ICR (shows as Removed until the next ICR for the same OMB Control # is created). Click the Duplicate radio button to copy the desired IC (including data, instruments and documents) to a new IC in the same ICR.

Either Add or Edit choices will take you to the Edit IC screen displayed below.

Each IC must have one obligation to respond, one affected public, and one line of business. If there is more than one value of any of these for the ICR, separate ICs will be required. For example, if the information is collected from state and local governments and individuals, one IC must be created with an affected public of 'state and local governments' and one for 'individuals or households'. For more information on this topic, refer to Appendix A of this document.

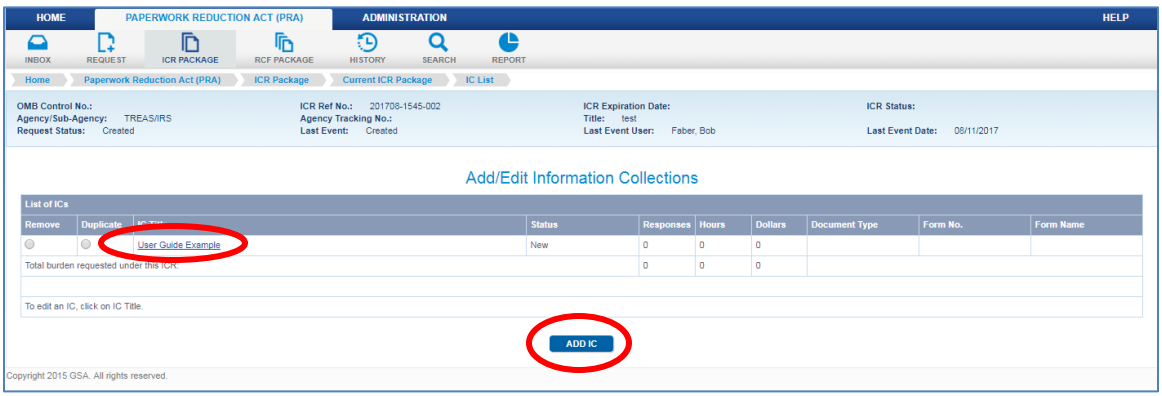


Figure 8.1: Add/Edit Information Collections Screen

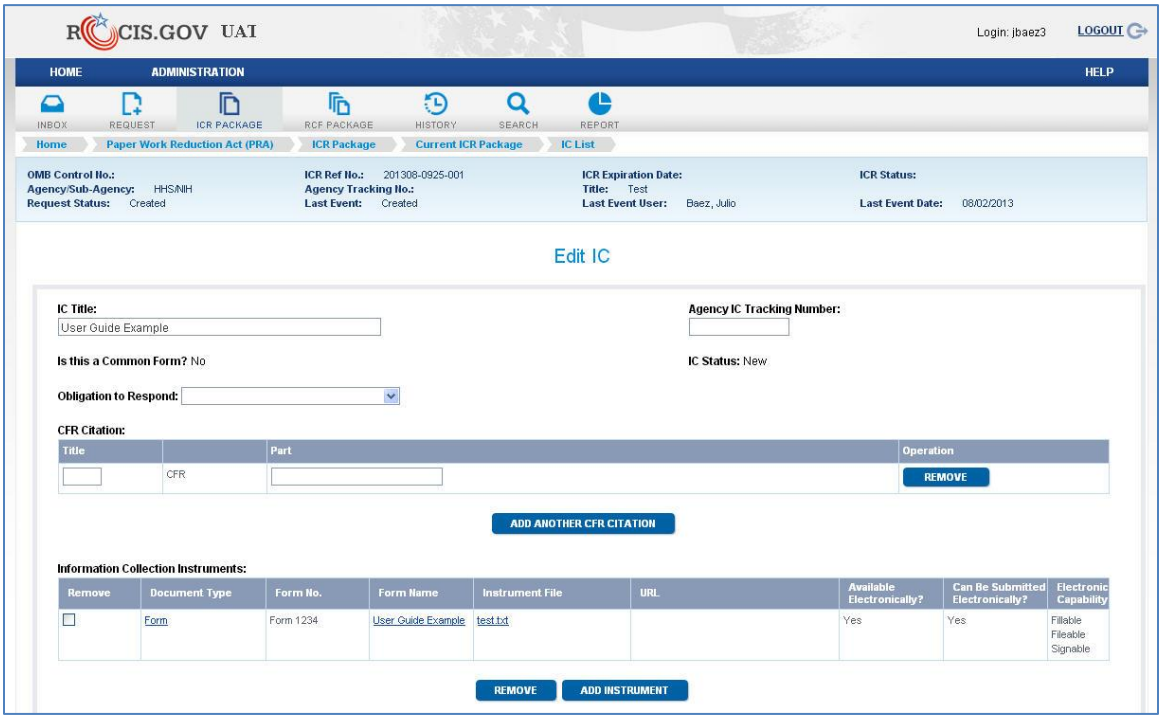


Figure 8.2: Edit IC Screen

Completing the Fields of the Add/Edit IC Screen

DO NOT enter any personally identifiable information (PII) into ROCIS. This includes data entered in ROCIS fields and the content of documents uploaded to ROCIS. Essentially all ICR data entered and documents uploaded into ROCIS are displayed on Reginfo.gov (public-facing website).

IC Title: Create the IC title with potential text search in mind.

Agency IC Tracking Number: This field is entirely optional. One possibility is to provide the IT investment number (Exhibit 300 ITBRS number) when an information system is associated with the ICR.

Is this a Common Form?: This feature is not yet available, so select 'No'.

IC Status: ROCIS will populate this field; no entry by the agency is required.

Obligation to Respond: The "obligation to respond" is either mandatory, required to obtain benefits, or voluntary. Select the category that applies to the IC. If more than one category applies, you will need to create an IC for each affected category to account for the burden associated with that category.

a. Mark "Voluntary" when the response is entirely discretionary and has no direct effect on any benefit or privilege for the respondent.
b. Mark "Required to obtain or retain benefits" when the response is elective, but is required to obtain or retain a benefit.
c. Mark "Mandatory" when the respondent must reply or face civil or criminal sanctions.

For each IC, either a CFR citation or an information collection instrument must be provided.

CFR Citation: Use this option if the information collection has no form or survey and is required by a statute or regulation. To identify the regulation that is the basis for collecting the information, enter the appropriate CFR Citation. Multiple citations can be entered for a single IC. Add as many as necessary by clicking on Add Another CFR Citation.

Information Collection Instruments: An “instrument” is the mechanism for gathering the information. The most obvious and easily identified type of instrument is a paper or electronic form or a survey, but it may be a web-based application, a telephone script, or any other means used to collect the information. If forms were recorded as part of the ICR in the migrated legacy data base, they will be listed here. However, you will need to open the Instrument File by clicking on the instrument file on the Add/Edit IC Instrument screen to upload the form, survey, or other instrument that is applicable to the IC. An IC may have multiple instruments.

To remove the reference to the form from the migrated legacy data, or for some other reason, use the Remove button.

To add a new instrument, click on Add Instrument on the Edit IC screen.

How to Add an Instrument

The Add Instrument screen is a screen for making the instrument available for the OIRA desk officer's review.

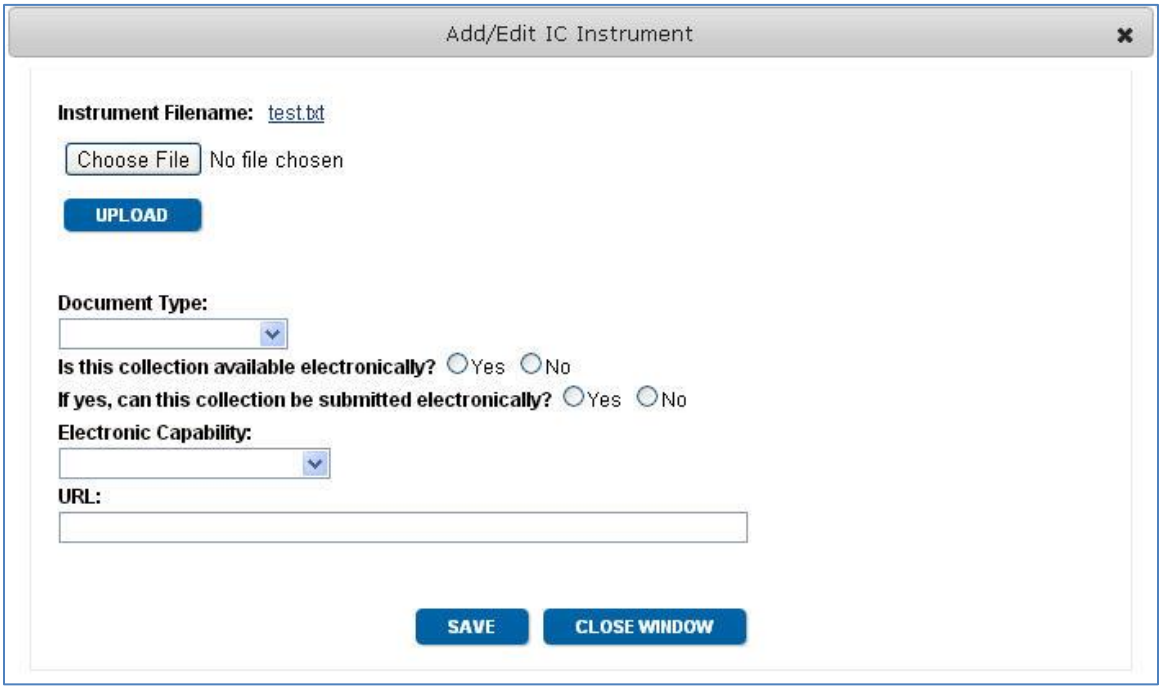


Figure 8.3: Add/Edit IC Instrument Pop Up Screen

To upload an instrument, select the 'Browse' button. ROCIS will allow you to navigate your desktop PC to locate the document. Once you have located the correct document, click on the document name, and the correct information will be moved to the Instrument Filename box. Click the 'Upload' button and the file will be uploaded. The name of the document will then appear next to the label 'Instrument Filename'. ROCIS will also calculate and fill in the Form File Size.

Select a Document Type, fill in a form number and a form name.

Just as it is possible to list multiple CFR citations for an IC, it is possible that an IC will have multiple information collection instruments (ICIs), such as an electronic and a paper version of the same collection, or versions in more than one language.

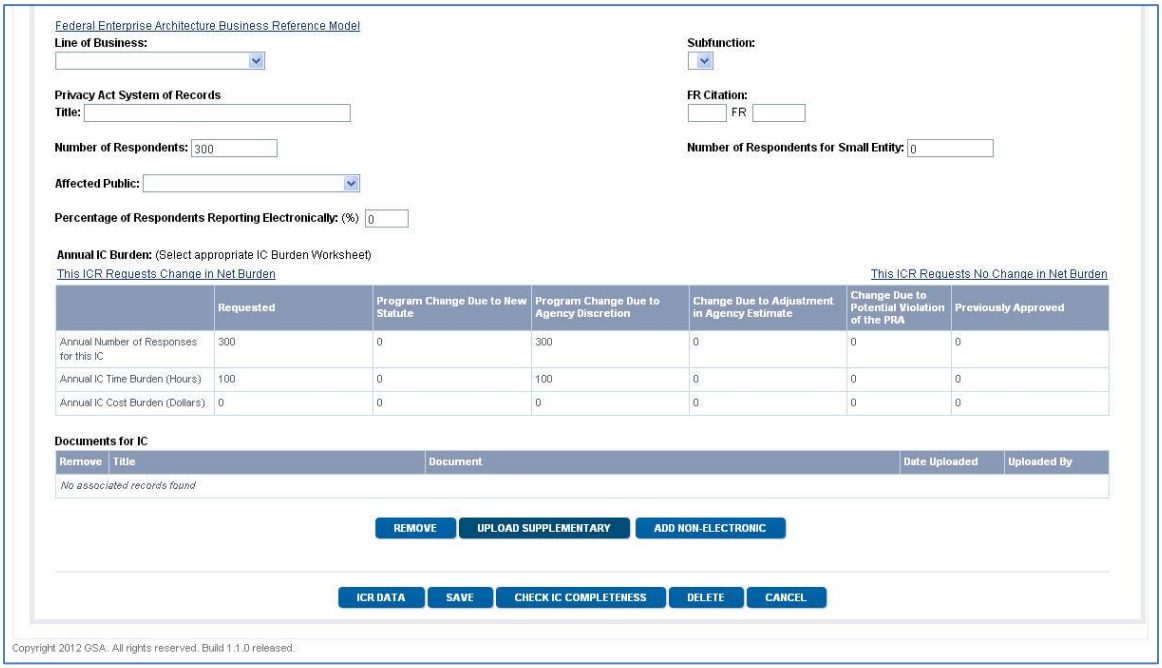


Figure 8.4: Edit IC Screen (continued)

Line of Business and Sub-function: The "line of business" refers to the federal government's lines of business in services to citizens and management of governmental resources affecting citizens as defined by the Federal Enterprise Architecture Business Reference Model.

The Business Reference Model is a function-driven framework for describing the business operations of the federal government independent of the agencies that perform them. The Business Reference Model lines of business provide a way to identify "government-wide common solutions for improved service to citizens."

If an IT investment/system is related to the information collection, the line of business should be that which is used by the agency to justify the IT investment in its Exhibit 300. If there is no system, please use the definitions of the line of business that most accurately reflects the "business" of the collection.

Because lines of business functionally cross organizations, assignment of lines of business to ICs will also enable identification of potential opportunities for merged and/or common forms and reduced burden.

Privacy Act System of Records and FR Citation: Enter if applicable.

Number of Respondents: This is the basis for a burden number that is calculated by ROCIS on the Burden Worksheet.

Number of Respondents for Small Entity: Indicate the number of small entity respondents upon which the information collection will have a significant impact. A small entity may be (1) a small business which is deemed to be one that is independently owned and operated and that is not dominant in its field of operation; (2) a small organization that is any not-for-profit enterprise that is independently owned and operated and is not dominant in its field; or (3) a small government jurisdiction which is a government of a city, county, town, township, school district, or special district with a population of less than 50,000.

Affected Public: Select one from the following choices: federal government; households and individuals; the private sector; and state and local governments. You may select one of the choices per IC. If you select private sector, you will be presented another set of choices to select from; i.e., private sector, farms, and not-for-profit institutions. You may select more than one of these. No IC may have more than one affected public value. If there is more than one affected public, a separate IC will be required for each of the four primary values listed above.

Percentage of Respondents Reporting Electronically: Enter the estimated percentage of responses that will be submitted/collected electronically using electronic means, such as electronic mail, (mailed) diskette, or web-based transaction. Facsimile is not considered an electronic submission.

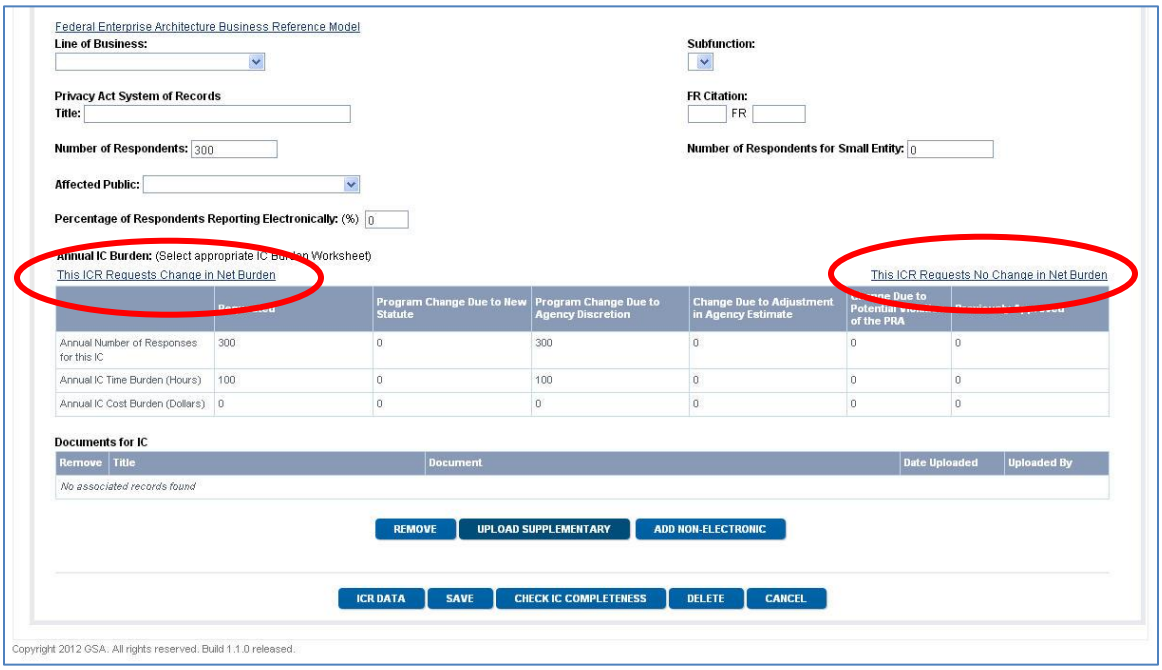


Figure 8.5: Edit IC Screen (continued)

Annual IC Burden (Select appropriate IC Burden Worksheet): Burden is calculated and accounted for at the IC level. Therefore, new burden and increases and/or decreases to

existing burden are requested on the Edit IC screen and, more specifically, through one of two Burden Worksheet pop-up screens circled above.

How to Calculate Burden If There is No Change for the Revision/Extension

ROCIS will populate Revisions/Extensions from the inventory of burden hours currently approved by OMB. For requests for new OMB control numbers or reinstatements, the current inventory is zero (0).

NOTE: No numbers may be changed on this screen. To change any numbers reflected here, use the IC Burden Worksheet.

If there is no change in burden for the revision or extension, choose "This ICR Requests No Change in Net Burden" link to review the burden and its apportionment among the three categories provided, and to enter the frequency of reporting when necessary.

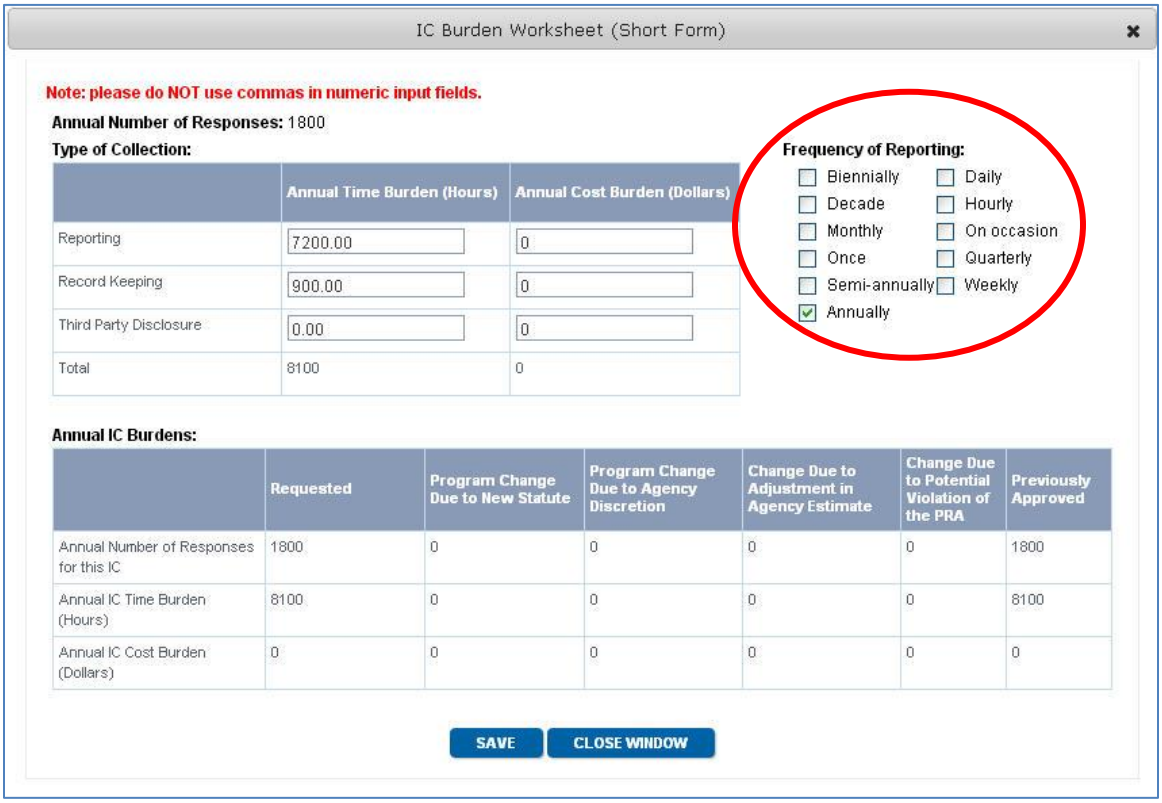


Figure 8.6: IC Burden Worksheet (No Change in Net Burden)

Frequency of Reporting: Multiple choices are acceptable; this choice does not affect calculations.

Enter "Reporting" burden for information collections that involve reporting and select the frequency of reporting that is requested or required of a respondent. If the reporting is on "an event" basis, select "On occasion."

Enter "Recordkeeping" burden if the IC explicitly includes a recordkeeping requirement.

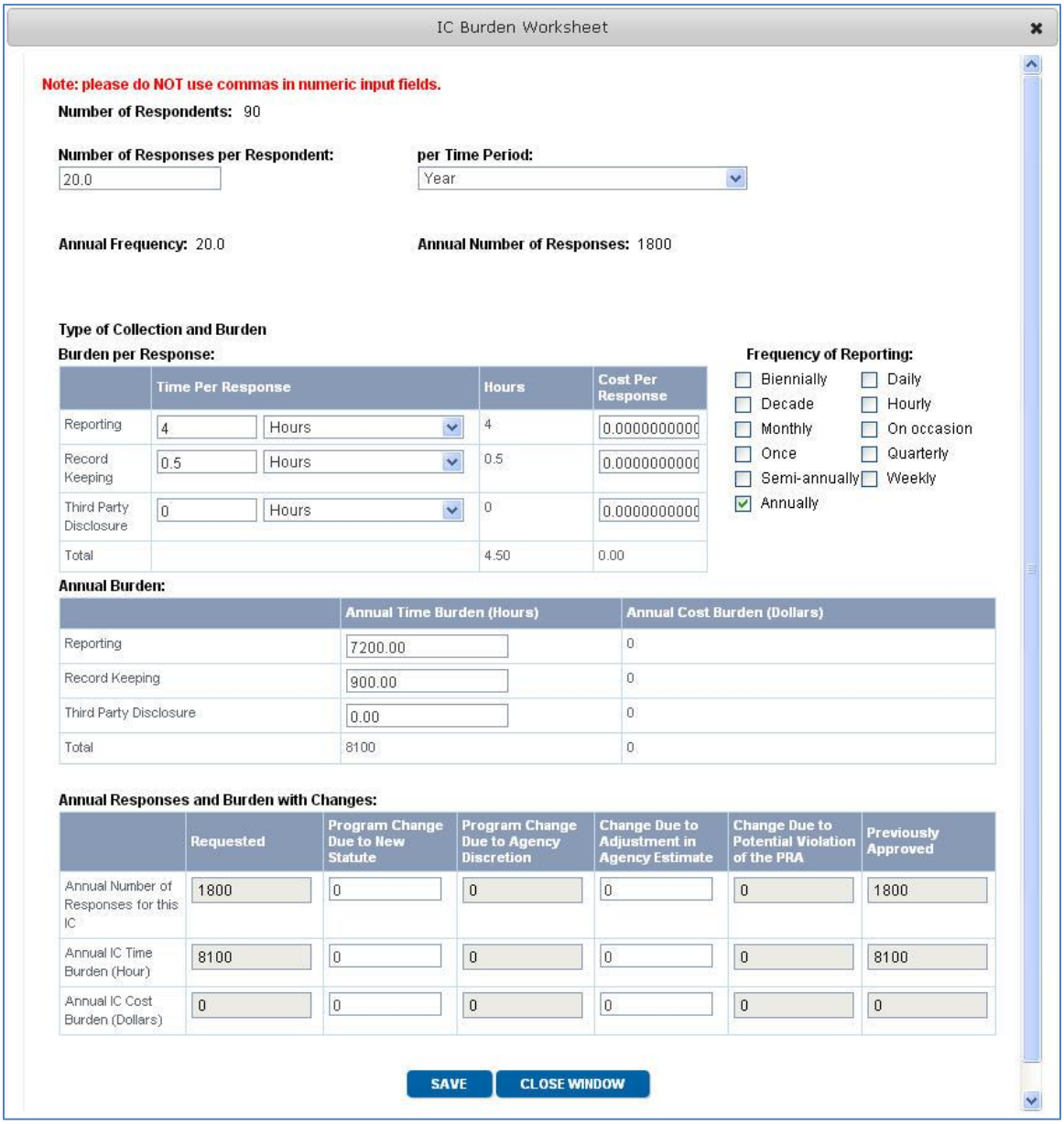
Enter "Third party disclosure" if an IC includes third-party disclosure requirements as defined by 1320.3(c).

NOTE: When creating new collections from scratch, you must select and use "This ICR Requests Change in Net Burden."

How to Calculate Burden If There is a Change for the Revision/Extension

To request new burden or to change burden**,** select (by clicking on the link for) the "This ICR Requests a Change in Burden" worksheet. ROCIS will populate the worksheet with the Number of Respondents entered on the Edit IC screen.

Enter the Number of Responses per Respondent and select the per Time Period from the drop down of frequency options. ROCIS will calculate Annual Frequency and Annual Number of Responses based on your choice.



IC Burden Worksheet

Note: please do NOT use commas in numeric input fields.

Number of Respondents: 90

Number of Responses per Respondent: 20.0

per Time Period: Year

Annual Frequency: 20.0

Annual Number of Responses: 1800

Type of Collection and Burden

Burden per Response:

	Time Per Response		Hours	Cost Per Response
Reporting	4	Hours	4	0.0000000000
Record Keeping	0.5	Hours	0.5	0.0000000000
Third Party Disclosure	0	Hours	0	0.0000000000
Total			4.50	0.00

Frequency of Reporting:

- [ ] Biennially
- [ ] Daily
- [ ] Decade
- [ ] Hourly
- [ ] Monthly
- [ ] On occasion
- [ ] Once
- [ ] Quarterly
- [ ] Semi-annually
- [ ] Weekly
- [x] Annually

Annual Burden:

	Annual Time Burden (Hours)	Annual Cost Burden (Dollars)
Reporting	7200.00	0
Record Keeping	900.00	0
Third Party Disclosure	0.00	0
Total	8100	0

Annual Responses and Burden with Changes:

	Requested	Program Change Due to New Statute	Program Change Due to Agency Discretion	Change Due to Adjustment in Agency Estimate	Change Due to Potential Violation of the PRA	Previously Approved
Annual Number of Responses for this IC	1800	0	0	0	0	1800
Annual IC Time Burden (Hour)	8100	0	0	0	0	8100
Annual IC Cost Burden (Dollars)	0	0	0	0	0	0

SAVE CLOSE WINDOW

Figure 8.7: IC Burden Worksheet (Change in Net Burden)

Enter Time per Response in seconds, minutes, or hours (drop down choices) per Reporting, Record Keeping, and/or Third Party Disclosure and ROCIS will calculate the hours and Annual Time Burden for each category and summarize the total in the Annual Responses and Burden with Changes summary table.

Enter "Reporting" burden for information collections that involve reporting and select the frequency of reporting that is requested or required of a respondent. If the reporting is on "an event" basis, select "On occasion."

Enter "Recordkeeping" burden if the collection of information explicitly includes a recordkeeping requirement.

Enter "Third party disclosure" burden if a collection of information includes third-party disclosure requirements as defined by 1320.3(c).

If any of the burden time is allocated to the 'reporting category', a 'Frequency of Reporting' schedule will pop up next to the 'Burden Per Response' box. Choose as many as apply. Multiple choices are acceptable. Frequency of Reporting selections do not affect burden calculations.

Notes regarding hour burden: Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample (fewer than 10) of potential respondents is desirable. Generally, estimates should not include burden hours for customary and usual business practices.

Also, if appropriate, enter the estimated Cost per Response and ROCIS will calculate the Annual Cost Burden for each category and summarize the total in the Annual Responses and Burden with Changes summary table.

Note: On this worksheet, do not report as a dollar cost any burden reported in hours. The supporting statement asks for this information, but it should not be reported here.

Cost Burden includes:

a. the annualized dollar cost for capital investment or start-up costs in preparation for collecting information, such as purchasing computers and software; monitoring, sampling, drilling and testing equipment; and record storage facilities.
b. recurring annual dollar amount of cost for all respondents associated with operating or maintaining systems or purchasing services.
c. total annual reporting and recordkeeping cost burden. The estimates should take into account costs associated with generating, maintaining, and disclosing or providing the information.

Generally, Cost Burden should not include investments or purchases made:

a. to achieve regulatory compliance with requirements not associated with the information collection;
b. for reasons other than to provide information or keep records for the government; or
c. as part of customary and usual business or private practices.

In developing cost burden estimates, agencies may consult with a small sample of respondents (fewer than 10), utilize the 60-day pre-OMB submission public comment process and use existing economic or regulatory impact analysis associated with the rulemaking containing the information collection, as appropriate.

ROCIS will place the change between the current inventory and the request in the “Program Change Due to Agency Discretion” or ‘Change Due to Violation of the PRA’ columns to identify the reasons for the change.

Annual Responses and Burden with Changes:

	Requested	Program Change Due to New Statute	Program Change Due to Agency Discretion	Change Due to Adjustment in Agency Estimate	Change Due to Potential Violation of the PRA	Previously Approved
Annual Number of Responses for this IC	1350	0	-450	0	0	1800
Annual IC Time Burden (Hour)	6750	0	-1350	0	0	8100
Annual IC Cost Burden (Dollars)	0	0	0	0	0	0

Figure 8.8: IC Burden Worksheet (continued)

You may adjust a number in the diagram above if a box appears around the number. To change a number, move the tab to the box where you want the new number to appear, and enter the new value. The “Program Change Due to Agency Discretion” column will be automatically updated by ROCIS. The “Change Due to Violation of the PRA’ column cannot be changed, since the number is a result of a reinstatement due to expiration or a request for approval for collections not in adherence with the PRA,

Program Change due to New Statute. "Program change" is the result of deliberate Federal government action. All new collections and any subsequent revision of existing collections (e.g., the addition or deletion of questions) are recorded as program changes. When ‘Program Change due to New Statute’ is selected at the IC level, you will be prompted to provide the statute citation on the ICR screen.

Change Due to Adjustment in Agency Estimate. "Adjustment" is a change that is not the result of a deliberate Federal government action. Changes resulting from new estimates or action not controllable by the Federal government are recorded as adjustments.

Annual Responses and Burden with Changes:

	Requested	Program Change Due to New Statute	Program Change Due to Agency Discretion	Change Due to Adjustment in Agency Estimate	Change Due to Potential Violation of the PRA	Previously Approved
Annual Number of Responses for this IC	342	0	114	0	228	0
Annual IC Time Burden (Hour)	1454	0	485	0	969	0
Annual IC Cost Burden (Dollars)	0	0	0	0	0	0

Figure 8.9: IC Burden Worksheet (continued)

When you are satisfied with the data on the burden worksheet, select the 'Save' button. After the data has been saved, close the window.

You will be returned to the 'Edit IC' screen. You may now save the IC.

If you have additional ICs, repeat this process for each one. When you are done, return to the 'ICR' Data page to finish adding ICR data.

Number of Information Collections (IC) in this ICR: 1

IC Title	Form No.	Form Name
Agreement for Shipments of Devices for Sterilization		

BURDEN

ICR Summary of Burden:

	Requested	Program Change Due to New Statute	Program Change Due to Agency Discretion	Change Due to Adjustment in Agency Estimate	Change Due to Potential Violation of the PRA	Previously Approved
Annual Number of Responses	1,350	0	-450	0	0	1,800
Annual Time Burden (Hr)	6,750	0	-1,350	0	0	8,100
Annual Cost Burden ($)	0	0	0	0	0	0

Citations for New Statutory Requirements: *(Required if any change in burden is a Program Change Due to New Statute.)*

REMOVE

ADD ANOTHER STATUTORY REQUIREMENT

☐ At least one IC has a burden increase because of Program Change due to Agency Discretion

☑ At least one IC has a burden decrease because of Program Change due to Agency Discretion

Burden Reduction Due to:

Short Statement: *(Explain the reasons for any program changes or adjustments reported; that is, provide a short statement of how the reduction in burden was achieved or why the increase in burden occurred. (If you need more space, please provide a short statement less than 4000 characters here and elaborate in the Supporting Statement.))*

Add/Edit Supporting Statement and Other Documents

CHECK SPELLING | IC LIST | AGENCY REVIEW | SAVE | CHECK FOR COMPLETENESS | LOCK | SUBMIT | DELETE | CANCEL | PRINT TO PDF

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Figure 8.10: Edit ICR Screen (continued)

Burden Results of the IC page(s) are displayed on the ICR page. If changes in burden have occurred because the ICR is new or due to a revision with change, you will be prompted to

answer questions related to the changes. This information will be used to draft the Information Collection Budget Report to Congress.

- Citations for New Statutory Requirements are required if summary change in burden is a Program Change Due to New Statute.

- When the summary indicates changes attributed to Program Change Due to Agency Discretion, select the Information Collection Budget chapter headings to which the increase or decrease is attributed from the drop down list offered.

- When there is a change in burden of any kind in the ICs, the system will prompt you to provide a short explanation. This is the justification that was previously provided in the supporting statement. If you need more than 4000 characters to elaborate, please offer a concise explanation in the space provided and write a longer version in the supporting statement.

9. ACTION BUTTONS

The buttons at the bottom of the some screens are used to guide your actions. Some are for navigation purposes, some invoke special features, and some direct system actions.

These buttons direct the system to move you from where you are to another section of the ICR process. They include **ICR Data** and **IC List.**

Other buttons allow you to perform specific tasks. These include: **Check Spelling, Save, Delete, Cancel, Submit, Remove** and **Print to PDF**.

Pop-up screens are used in ROCIS to enable you to complete information while staying on a page; for instance, completing the instrument page as a pop up while on the Edit IC page. Your access to Internet may block pop ups and you will need to, at least temporarily, allow pop ups to complete the input of an ICR package. Also, only one pop up for a specific operation is allowed at a time, so be sure to close the pop up window before trying to do another operation of the same type.

A pair of function buttons control the updatability of the ICR. If an Authorized Paperwork Contact (APC) clicks the Lock button, no user may edit or submit the ICR until the Unlock button has been clicked.

There are two special function buttons. You will find a '**Check for Completeness**' button at both the IC and ICR level. These allow you to check that you have entered all of the data required for either the IC (when used at the IC level) or the ICR (if used at the ICR level. This will allow you to insure that no data is missing from what is required before the request can be submitted. It is an extremely easy way to check your work, particularly if someone else will actually be submitting the request.

The second special button is the **Agency Review Button,** which allows you to communicate information about the request to others in the agency**.** Use this short note space to record the status of the ICR or to write a short request of another user in the Agency ICR Review chain. Your user id and date will appear in the Agency Created Request List "Last Reviewed By" column but will not be viewable to OIRA.

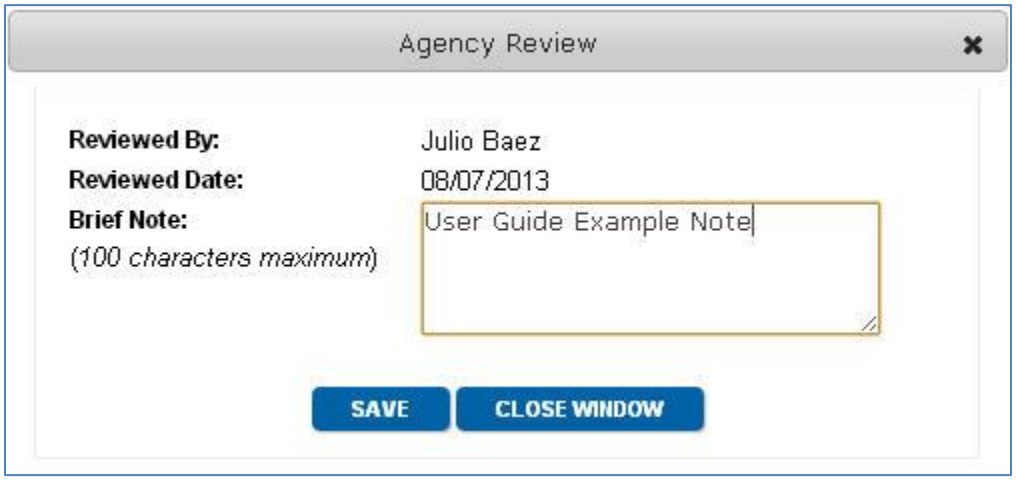


Figure 9.1: Agency Review Pop Up Screen

10. UPLOADING ICR DOCUMENTS

To upload (electronically attach) the Supporting Statements A and B, draft rules, draft FR notices, Justification for Nonmaterial/Non-substantive changes (formerly 83C), and to document public comments, use the Manage ICR Documents screen.

DO NOT enter any personally identifiable information (PII) into ROCIS. This includes data entered in ROCIS fields and the content of documents uploaded to ROCIS. Essentially all ICR data entered and documents uploaded into ROCIS are displayed on Reginfo.gov (public-facing website).

While in Edit ICR, select ICR Documents in the drop down at the Current ICR Package in the ICR Package menu in the navigation toolbar.

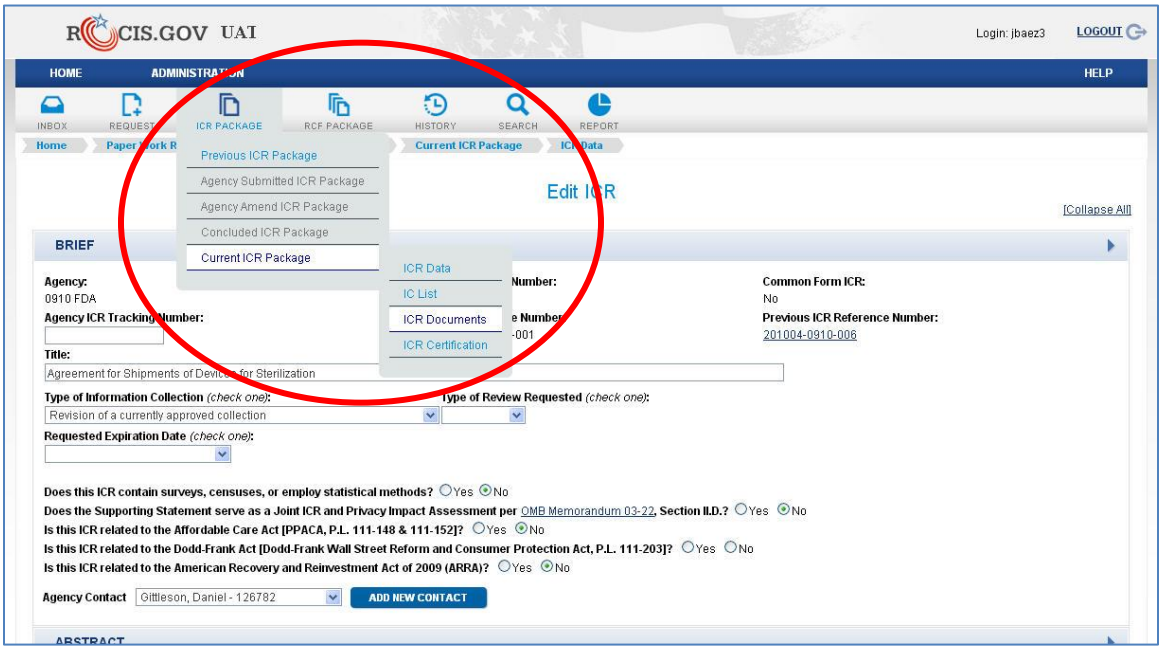


Figure 10.1: Edit ICR Screen with Link to ICR Documents Screen

You will arrive at the Manage ICR Documents screen.

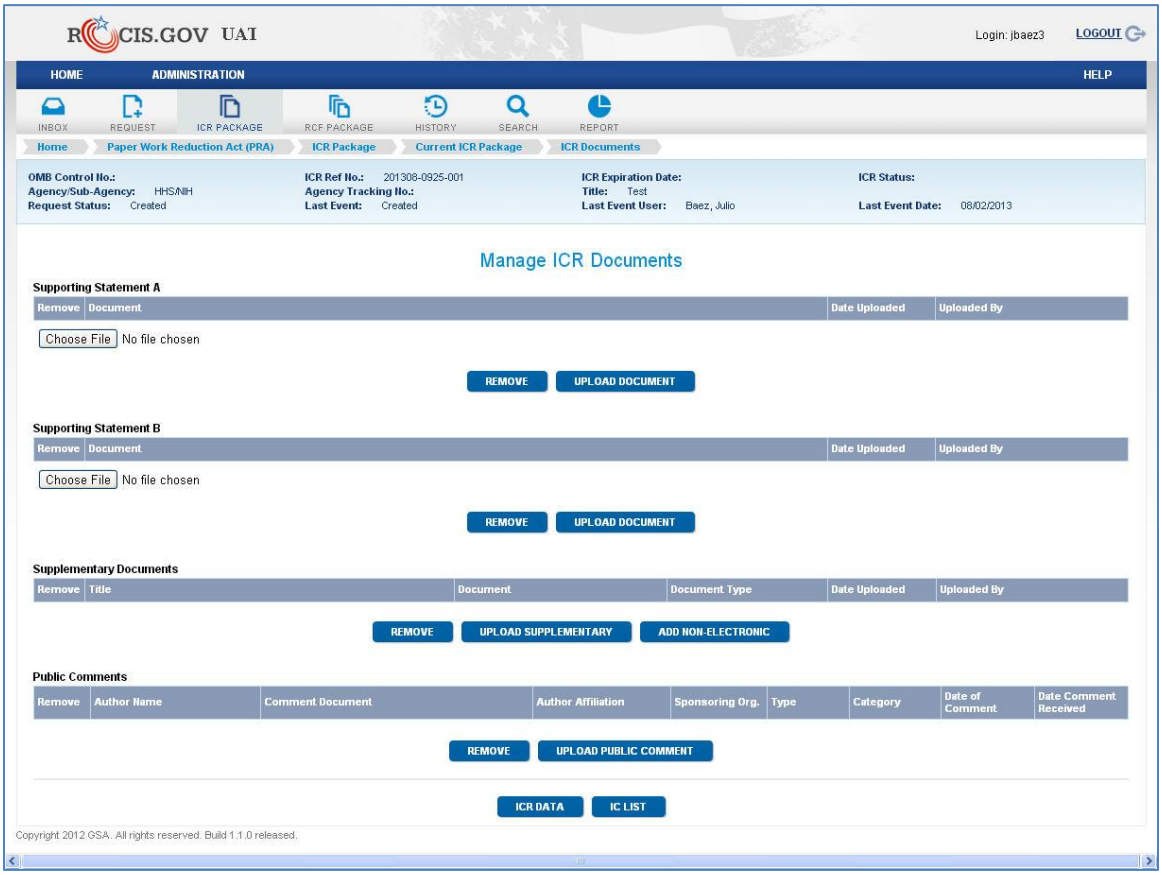


Figure 10.2: Manage ICR Documents Screen

You can also reach the Manage ICR Documents screen by saving and selecting the hotlink Add/Edit Supporting Statement and Other Documents on the Edit ICR page.

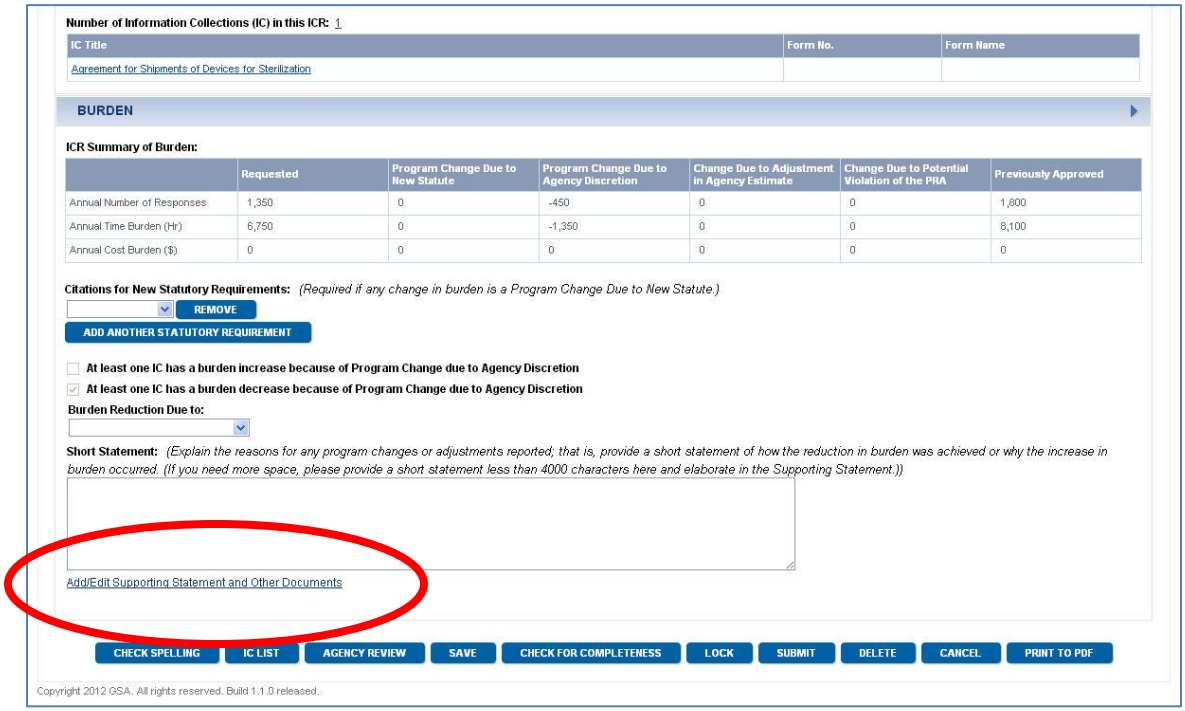


Figure 10.3: Edit ICR Screen with Link to ICR Documents Screen

Use the Current ICR Package drop down list in the ICR Package menu of the navigation toolbar to return to the ICR Data page when finished uploading your package documents.

Very important: These documents are subject to viewing by the public while the ICR is pending OIRA review and upon OIRA conclusion of review at RegInfo.gov. Please ensure pristine documents—without tracked changes and edits. It is important to use the Document Inspector feature in Microsoft Word to check for hidden properties or personal information. Find it in the File tab-- illustrated below. Uploading as PDF documents is another way to ensure against displaying modifications.

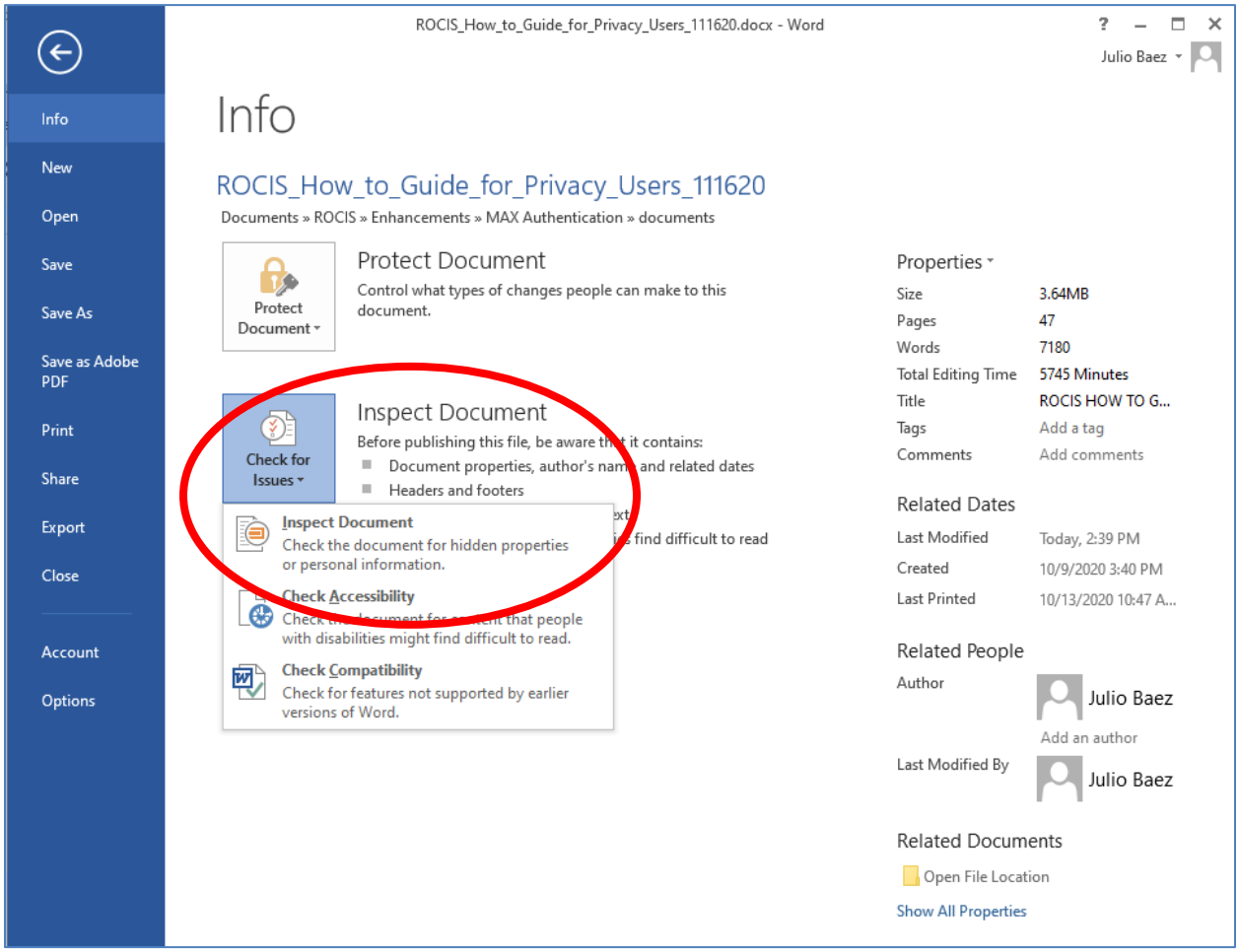


Figure 10.4: Document Inspector Functionality in Microsoft Word

Every new ICR request requires a Supporting Statement A. To upload this document, click the 'Browse' button, under the appropriate heading. ROCIS will then allow you to browse your computer files to find the right document. Once you have found it, simply click on it and the file name will appear in the window. Next, click the 'Open' button, and the path to the document will appear in the ROCIS window. Finally, click the 'Upload Document' button, and ROCIS will attach the file electronically to your submission. The file name will be displayed as a link under 'Supporting Statement A'.
(See screen shots below).

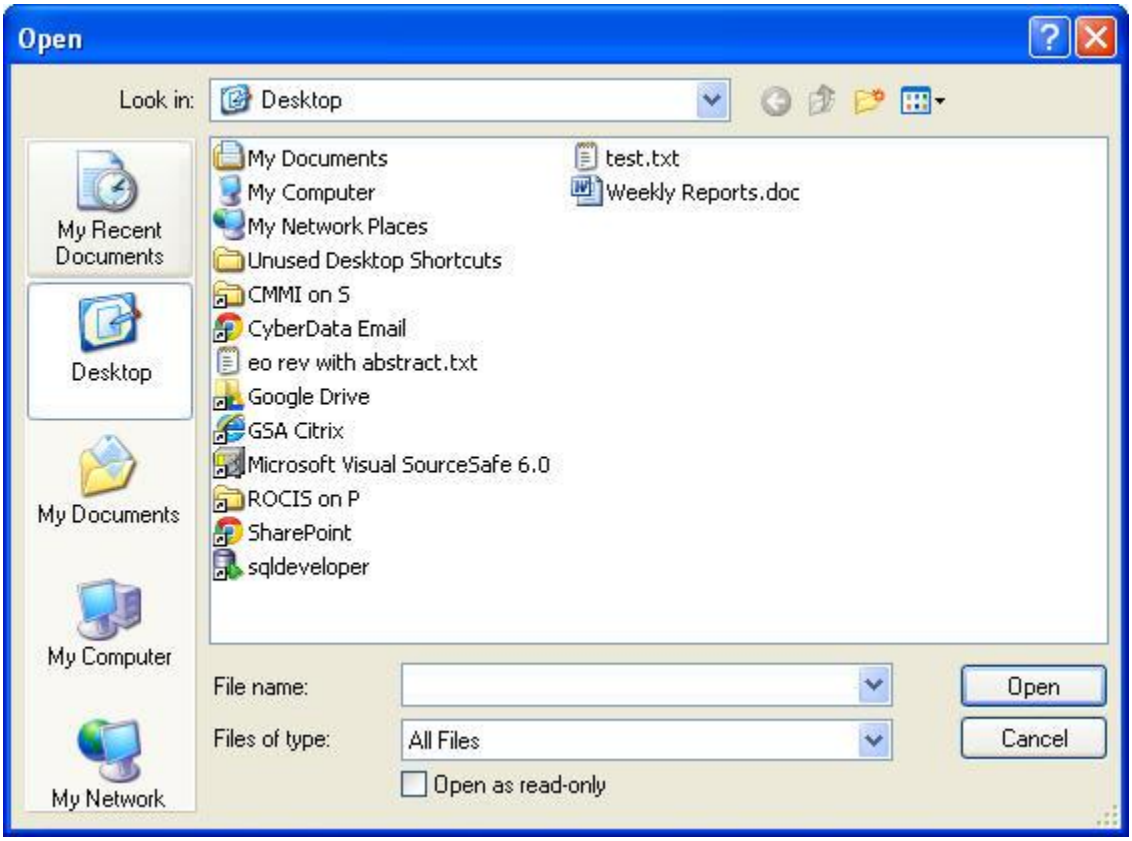


Figure 10.5: Open File Pop Up from Manage ICR Documents Screen

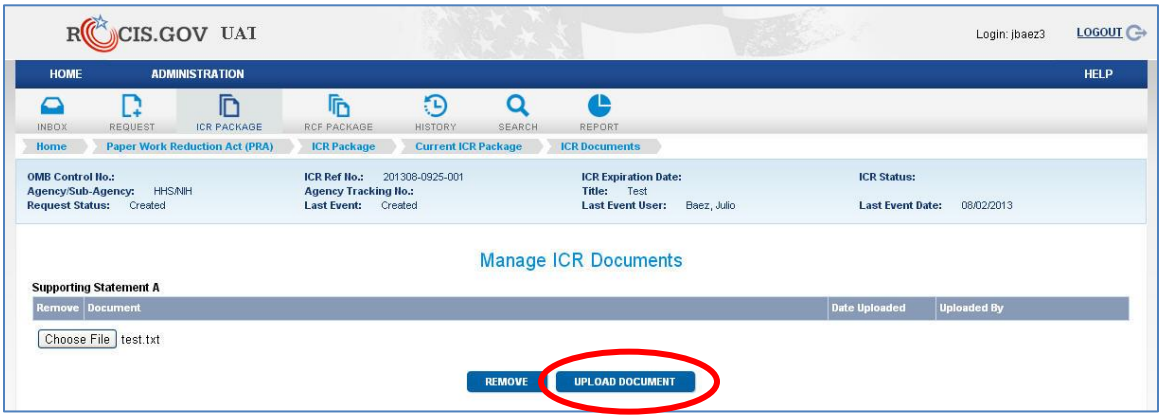


Figure 10.6: Mange ICR Documents Screen with Selected File Path

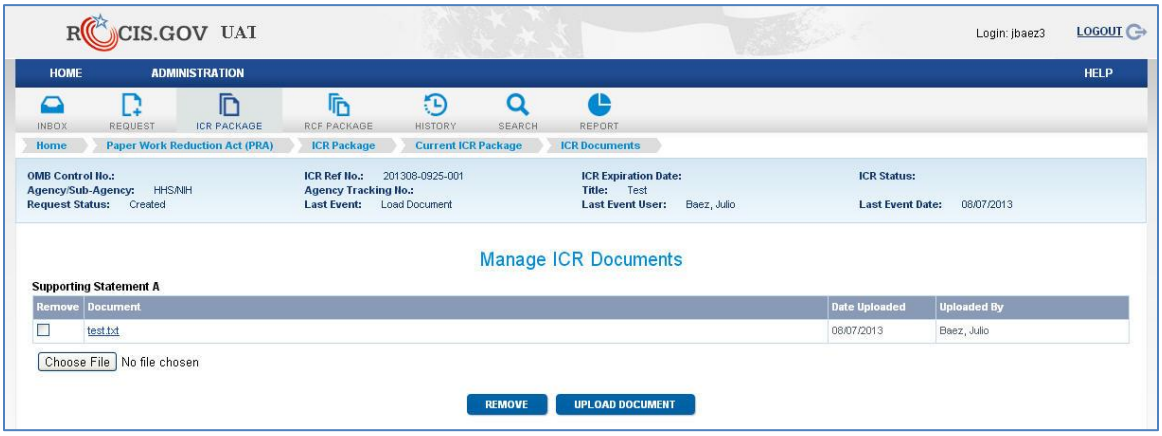


Figure 10.7: Mange ICR Documents screen with Supporting Statement A Uploaded

There is also now a box under the 'Remove' column. Should you want to delete this document, check the box by clicking on it, and then hit 'enter' on your keypad.

Each ICR is allowed only **one** Supporting Statement A. If you follow the steps above again, you will not be adding a second Supporting Statement A, you will be overwriting the one that is there. The system will give you a confirmation message before overwriting the document.

If, on the Edit ICR page, the box for 'Does this ICR contain surveys, censuses, or employ statistical methods? was checked 'Yes', a Supporting Statement B is required. Follow the steps above to upload Supporting Statement B. Again, there is only one Supporting Statement B allowed with each ICR, so any attempt to upload a second one will result in overwriting the first.

Additional documents that are germane to the OIRA review may be uploaded as supplementary documents. To upload such documents, choose the 'Upload Supplementary' button. A title, document type and document date will need to be provided.

A dropdown list is available for 'document type'. When selecting a value for this data item, only choose 'Supplementary Document' if the document to be uploaded is **NOT** a Proposed Rule Document, nor a Final Rule Document, nor a Draft Federal Register Notice nor a Justification for a No Material/Non Substantive Change.

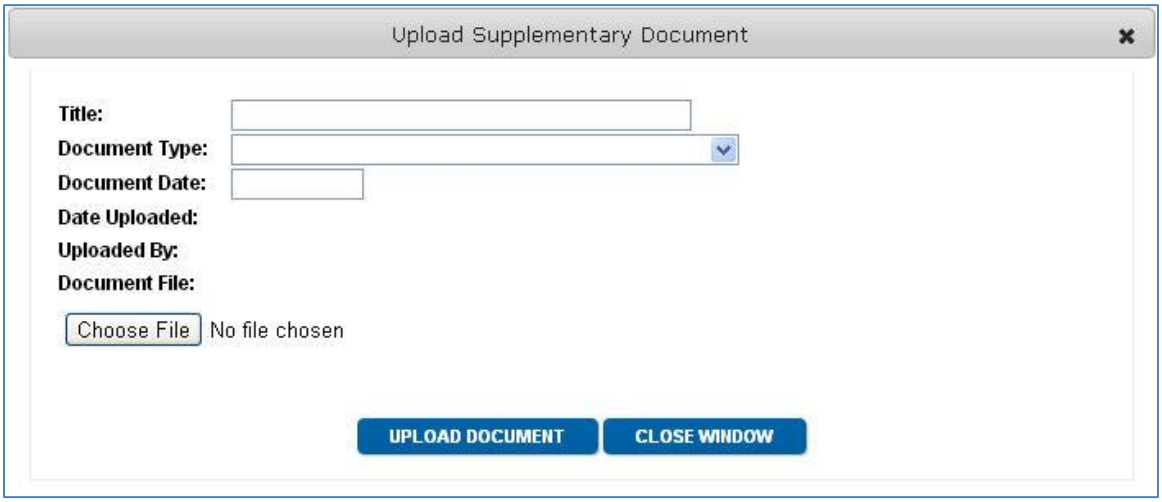


Figure 10.8: Upload Supplementary Document Pop Up from Manage ICR Documents Screen

Supplementary documents are never overwritten. If you wish to delete a supplementary document, check the 'remove' box to the left of the document title, and then click the 'remove' button.

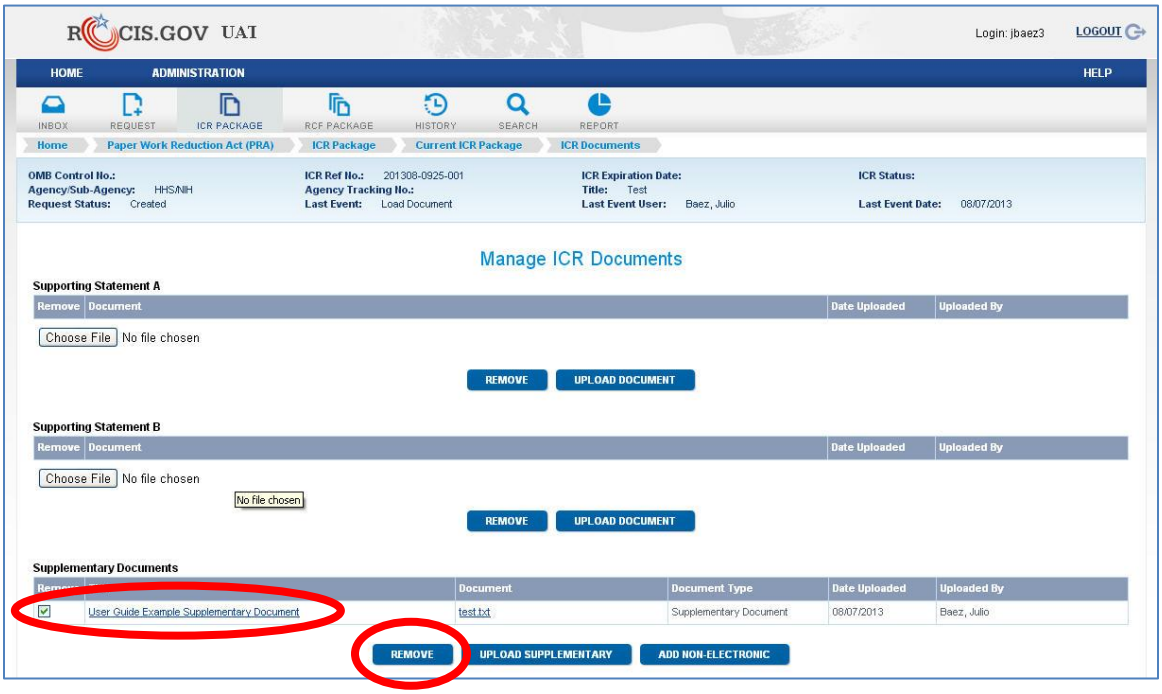


Figure 10.9: Manage ICR Documents Screen with Options to Remove Supplementary Documents

The final portion of the 'Manage ICR Documents' screen allows the agency to upload public comments that it has received. Choose the 'Upload Public Comment' button

After the correct document has been uploaded, a new screen will pop up, requesting additional information about the comment.

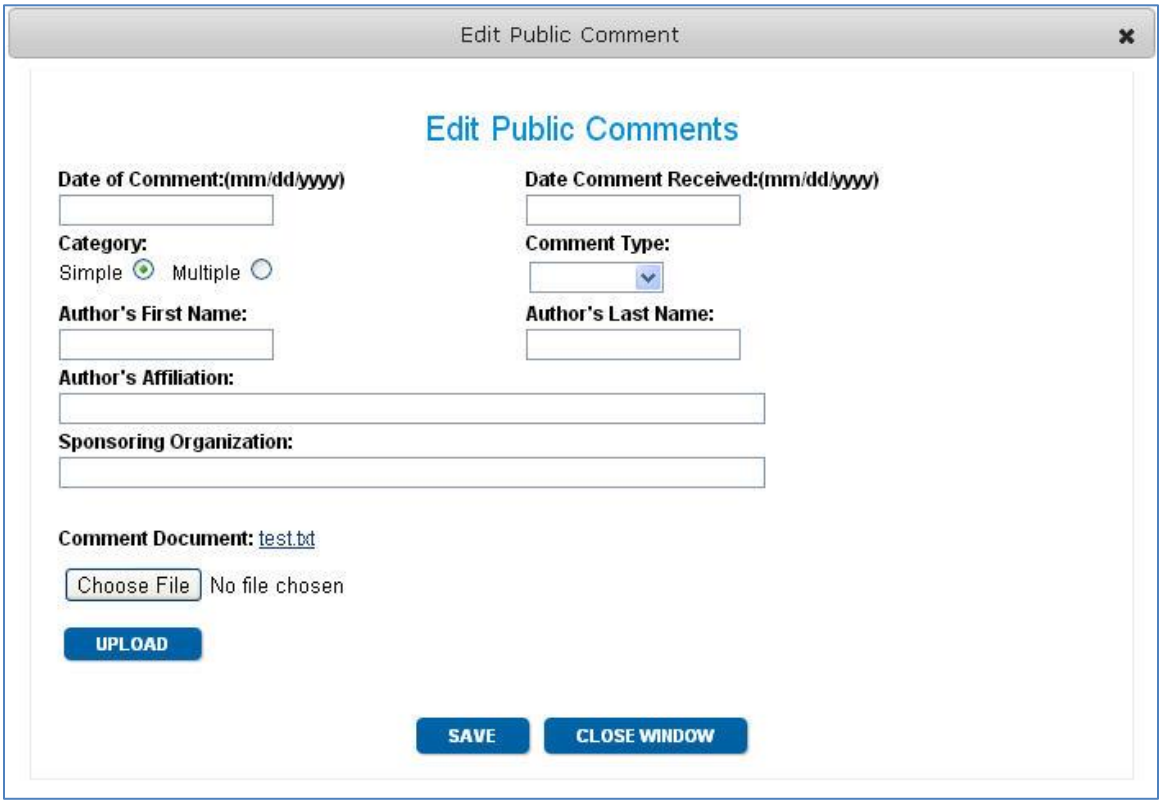


Figure 10.10: Edit Public Comments Pop Up from Manage ICR Documents Screen

If many comments were received, it may be appropriate to provide a document with a summary of the comments and how they were addressed. If multiple comments such preprinted postcards were received, it would be adequate to provide a sample and select the radio button for 'Multiple'.

11. SUBMITTING AN ICR PACKAGE

The Certification Requirement for Paperwork Reduction Act Submissions
5 CFR 1320.9 reads "As part of the agency submission to OMB of a proposed collection of information, the agency (through the head of the agency, the Senior Official, or their designee) shall certify (and provide a record supporting such certification) that the proposed collection of information….

After saving, checking for completeness and correcting any deficiencies, preparers may select and complete the ICR Certification Page using the navigation toolbar (ICR Package, Current ICR Package, and then ICR Certification). Submitters will reach the ICR Certification page when they click on Submit at the bottom of the Edit ICR screen.

The Certifying Official or Designee certifies that the collection of information encompassed by the request complies with 5 CFR 1320.9 by checking the box for each of the provision statements. Provisions of this certification that the agency cannot comply with or that do not apply should be identified by leaving unchecked and fully explaining in the Supporting Statement A. NOTE: The Office that "develops" and "uses" the information to be collected is the office that "conducts or sponsors" the collection of information. (See 5 CFR1320.3(d)).

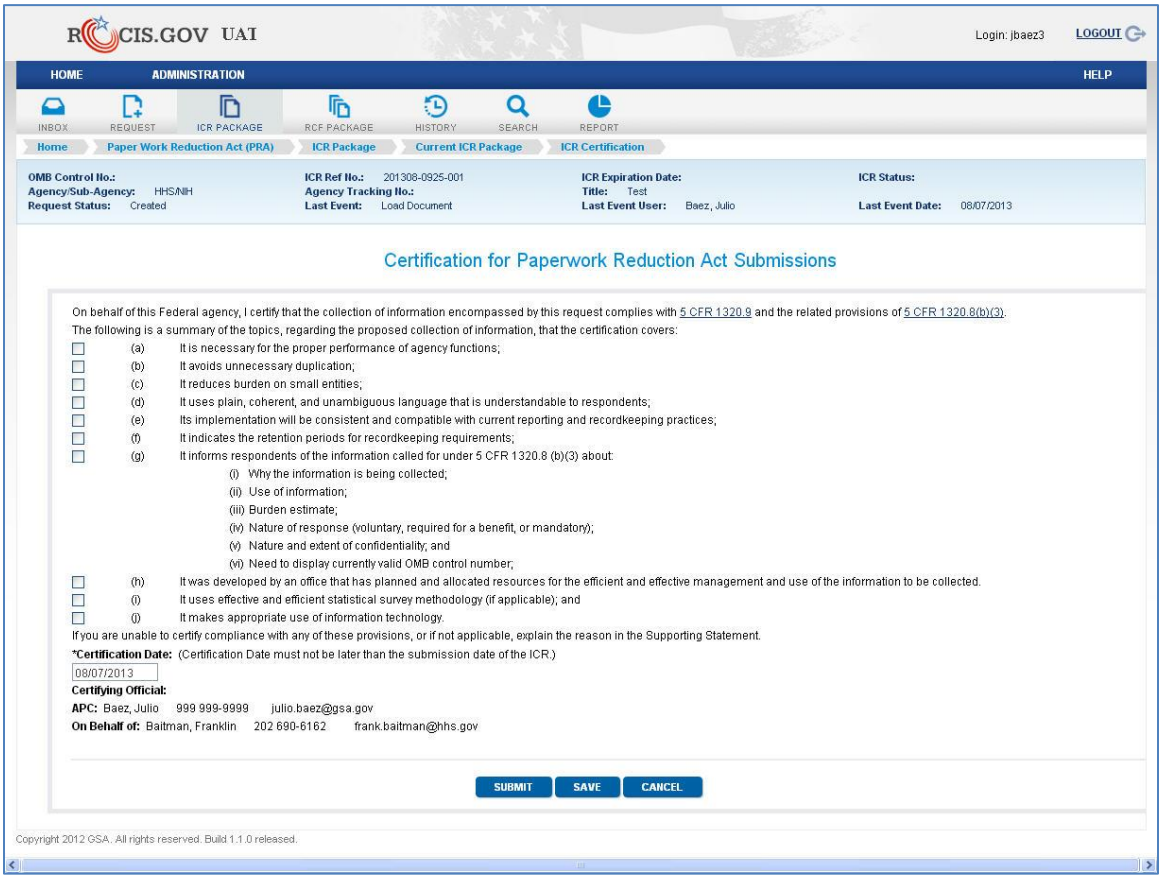


Figure 11.1: Edit Certification for Paperwork Reduction Act Submissions Screen

Once the certification has been reviewed by the authorized submitter, pressing the submit button will cause the request to be officially submitted—an information message to that effect will appear at the top of the screen.

12. THE REVIEW PROCESS AND OPEN/CLOSE FOR AMENDMENT

When the ICR request is submitted, the ROCIS system saves the agency submission, and that submission record is never altered. Instead, the system makes an exact copy of the submission and provides it to OIRA. While the ICR is under review, OIRA may request that the agency make changes to the submission. These changes will be made to the OIRA copy of the record. In order for the agency to make changes to the OIRA version of the submission, an OIRA desk office must open the record for amendment. Such an action on the part of OIRA will show as a change of status in the submitted box for the agency. The status will be changed to 'open for amendment'. Once an ICR request has this status, the agency can operate on the submission by clicking on either the status or the ICR reference number in the submitted list, and make the changes discussed with OIRA.

Not every item can be changed when a submission is opened for amendment. Items that cannot be changed will appear in gray. Except for these items, users can make almost any change, including adding or modifying information about ICs, and uploading new documents.

The ROCIS system alerts the OIRA desk officer when a submission that is open for amendment has been modified. The desk officer will then close the submission, changing the status to 'closed for amendment'. Once this is done, the changes made to the OIRA view of the record will no longer be viewable to the agency. When an agency user views the submission, the user will be looking at the original version of the submission, not the modified copy 'belonging' to OIRA. That will be true until the review is concluded by OIRA. Once the review is concluded, the OIRA version of the record will become the default displayed version of the review. However, the agency can always choose to look at the original submission by going to the ICR package tab and choosing the 'Agency Submitted ICR Package' tab.

NOTE: The PRA has a provision that allows an agency to use an already approved collection while a request for a revision or extension is under review. Therefore, no OMB control number in the active inventory will expire while a new submission is under review by OIRA. Should an expiration date for such an OMB control number occur, the previous approval will be automatically extended for another month**.** It is not necessary to submit emergency extension requests when an ICR submission is being reviewed by OIRA. Indeed, such a request could not be submitted, since only one request per OMB control number can be under review at the same time.

13. THE CONCLUSION PROCESS

When OIRA concludes review of the ICR submission, ROCIS will display the submission in the agency Concluded Inbox for 30 days. The agency can review all the information on the concluded review by clicking on the Conclusion Action in the status column of the Concluded Inbox display. This will cause the Notice of Action (NOA) to be generated and displayed as a pdf file.

OIRA can conclude the review with any of a number of actions. These include:

Approved without Change
Approved with Change

Either of the above actions means that the submission has been approved and is part of the active inventory.

Another set of conclusion actions indicate that the submission was not approved. These include:

Disapproved
Withdrawn
Not Subject to the PRA
Improperly Submitted

For submissions that are revisions or extensions of an active collection, the above decisions may be combined with the phrase 'and continue'. This means that the terms of the previous approval remain in effect. If there was an active collection under the same OMB control number at the time of the submission, and the phrase 'and continue' is not used with these action, the prior approval is immediately ended, and the OMB control number is no longer a part of the active inventory.

There are two special actions that OIRA can use if the submission is related to a proposed rulemaking. The first is 'Comment Filed on Proposed Rule'. This action is not an approval, and the agency will find OIRA's comments on the NOA. If there was an already approved ICR under the same control number and OIRA combines this decision with 'and continue, the terms of the previous approval remain in effect. If there was a previously approved ICR under this OMB number and the 'and continue' option is not part of OIRA's decision, the collection is immediately ended.

The second of these is "Preapproved". ICR Submissions that are concluded with this action do not affect the current inventory. When the final version of the rule has been published, an agency can activate this approval—provided no other intervening requests or actions have occurred on this OMB control number. This is done by searching for the preapproved submission. Once it is displayed, the agency will see an 'activate' button at the bottom of the screen. Click the activate button, and a new screen will appear to prompt for the federal

register citation and date when the final rule was published. Enter this information, and the preapproved ICR submission will be activated under the terms of the preapproval.

NOTE: If the preapproved submission was based on an OMB control number in the active inventory, and there are any intervening concluded requests through ROCIS on that same OMB control number (emergency extension, discontinuation, or non-substantive change) after the preapproval, the preapproval will not be able to be activated.

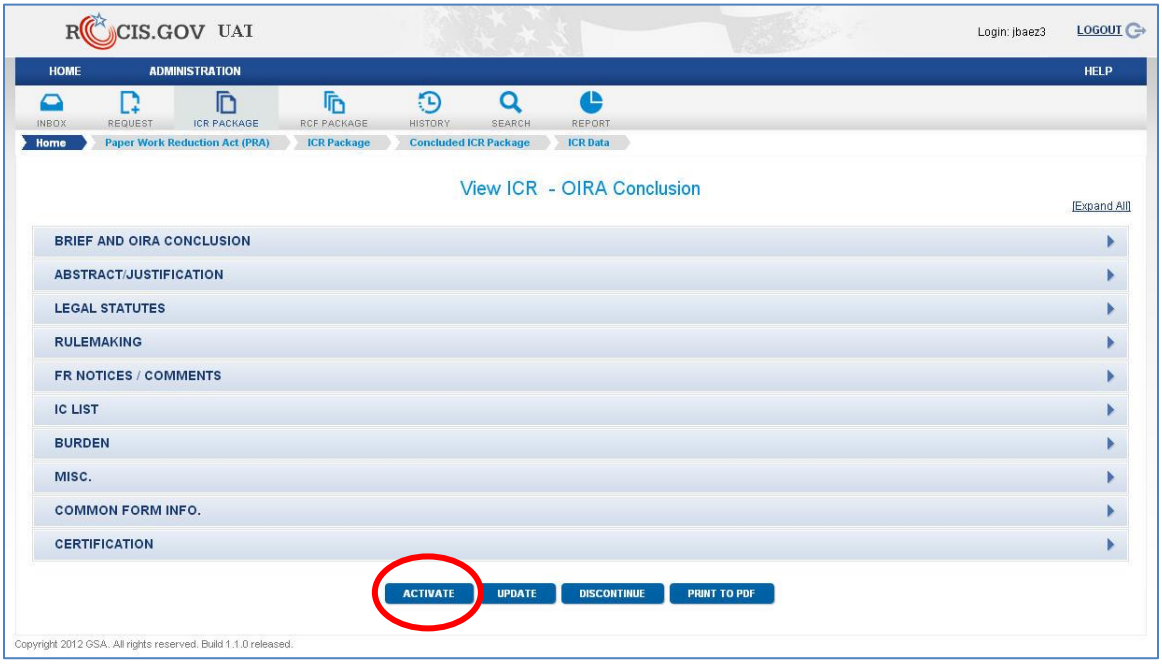


Figure 13.1: View ICR Screen with Option to Activate a Preapproval

Figure 13.2: Enter Final Rule Information Pop Up

14. REQUESTING A NO MATERIAL/NON-SUBSTANTIVE CHANGE

A no material/non-substantive change is handled in ROCIS as a new ICR request. The directions for creating an ICR generally apply, however, there is no requirement for federal register notices and information that isn't subject to change is grayed out so that it cannot be modified.

Create a new ICR following the instructions HOW TO Create an ICR and select "No material/non-substantive Change to a currently approved collection" as the type of information collection at the Edit ICR Screen.

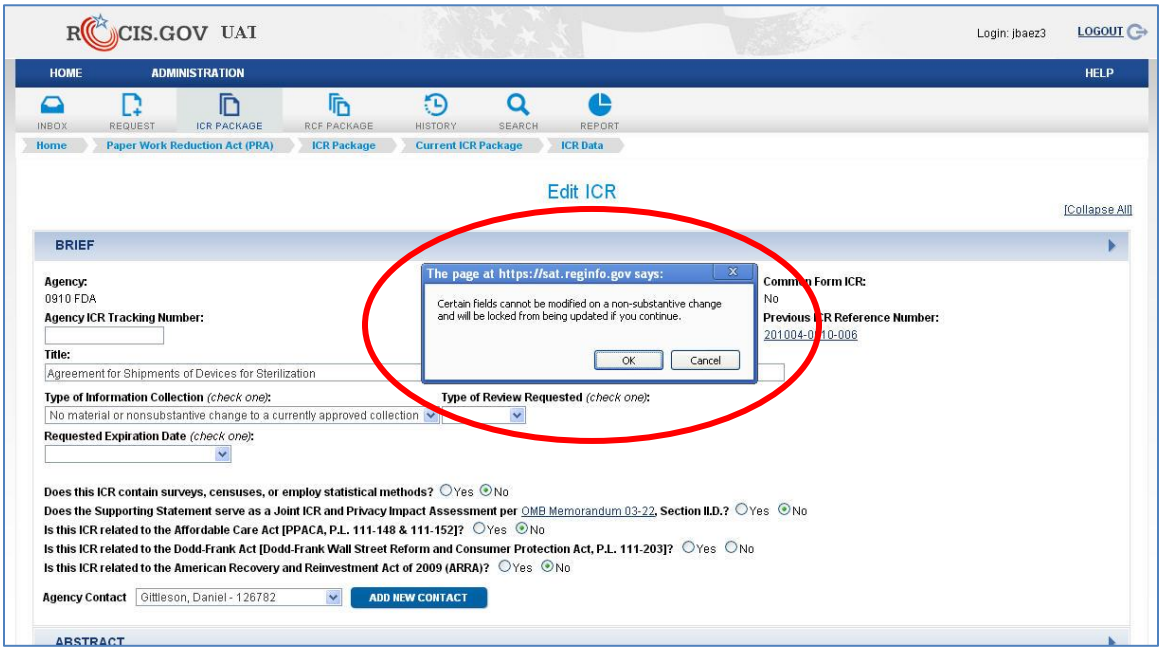


Figure 14.1: Edit ICR Screen with Confirmation Message

Make the proposed changes on the appropriate screens (Edit ICR, Edit IC, Add Instrument, Burden Worksheet).

Because you will be modifying an existing approval, you will not be uploading a new Supporting Statement A or B. However, you will need to upload a Justification for No Material/Non-substantive Change in the Supplemental Documents at the Manage Documents screen. Select ICR Documents from the drop down list of the Current ICR in the ICR Package menu of the navigation toolbar.

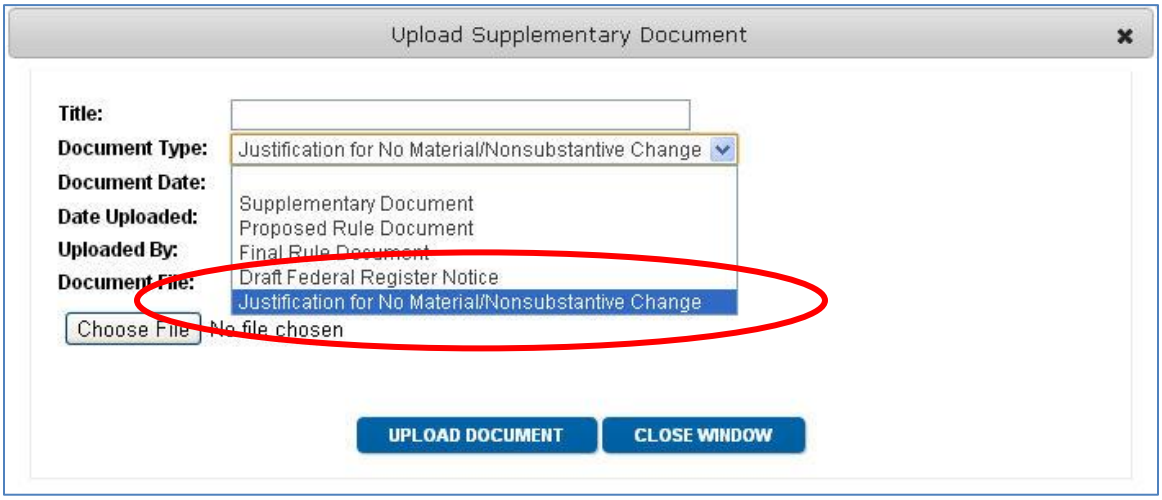


Figure 14.2: Upload Supplementary Document Pop Up

There is no template for the Justification; a short word document is adequate. Follow the HOW TO submit an ICR directions. The ICR will be listed in the inboxes with a request type of ICR Chg.

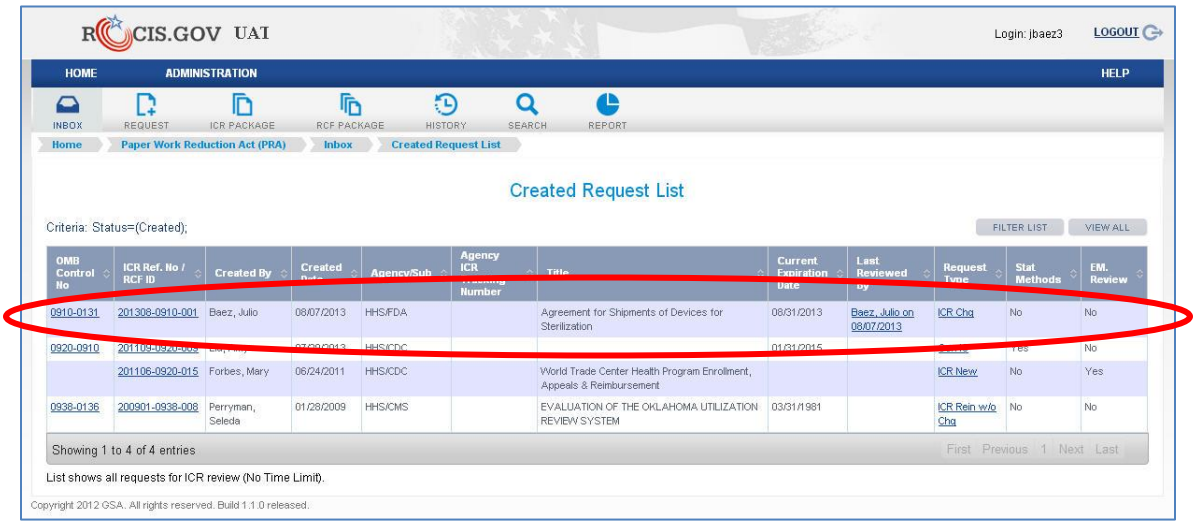


Figure 14.3: Created Request List Screen with Newly Created Request

15. REQUESTING AN EMERGENCY EXTENSION OF AN OMB CONTROL

An emergency extension is a request that OIRA extend the expiration date on an active information collection for a time period of three to six months. It is expected that, during the extended period, the agency will have time to prepare a regular ICR review request for submission to OIRA.

You may create a Request for Emergency Extension by:

1. Selecting the active ICR for the desired OMB Control # and then selecting the Emergency Extension (EE) action button at the bottom of the page.

   OR

2. Select Emergency Extension (EE) in the Request menu of the navigation toolbar.

1. In the first scenario, upon selecting the Emergency Extension (EE) button at the bottom of the View ICR screen of the OMB Control Number's active ICR, you will be brought directly to the Create Request for Emergency Extension of OMB Control Number screen with the information about the OMB Control Number and active ICR in the header box.

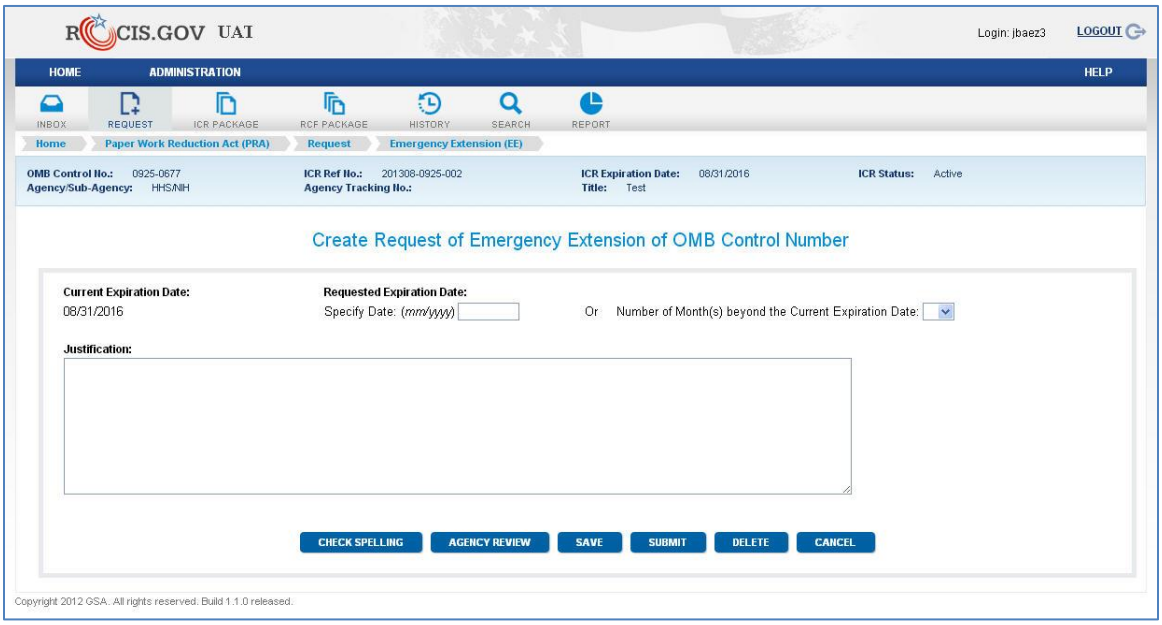


Figure 15.1: Create Emergency Extension Screen

Enter the justification to OMB and write an Agency Review note for other internal agency users. A saved request will be displayed in the Created Request List inbox. You and other authorized agency users may return to edit the request. Your agency's authorized paperwork contact

(APC) may submit the request. Submitted requests will be displayed in the Submitted Request List and the item will also be displayed in your OIRA desk officer's Pending Inbox.

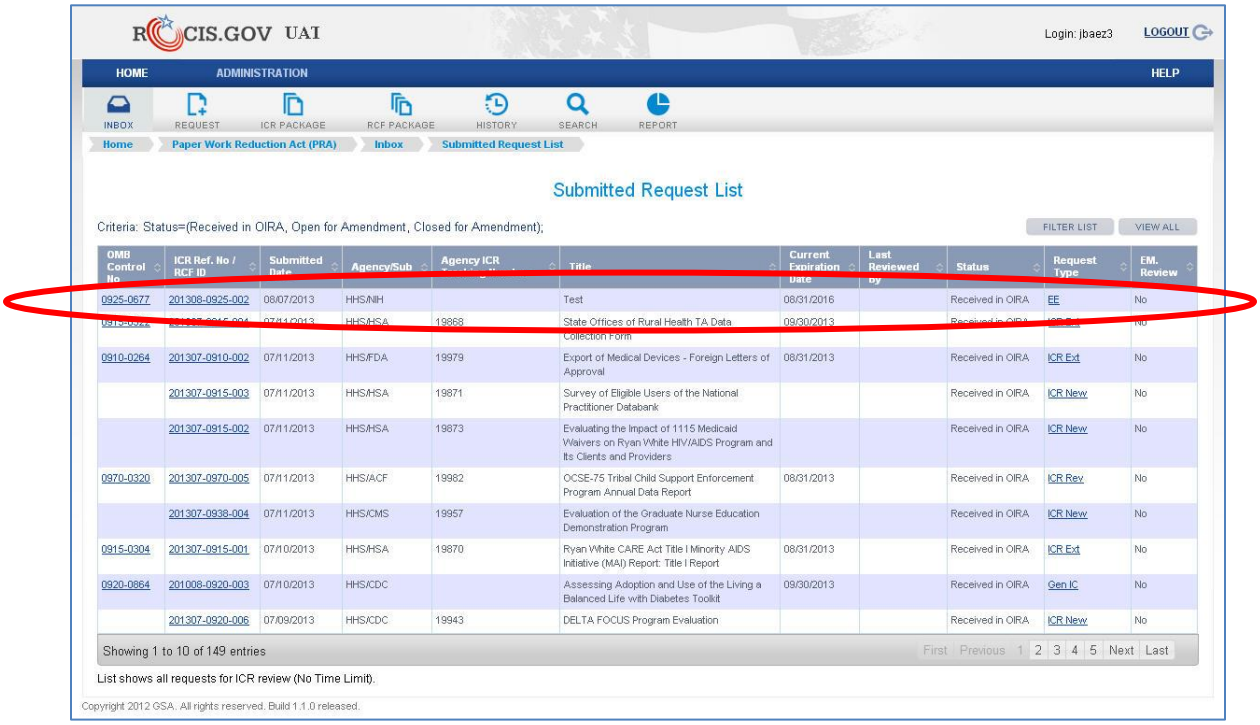


Figure 15.2: Submitted Request List Screen with Newly Submitted Emergency Extension

2. The second way to request and emergency extension is to select Emergency Extension (EE) from the choices under the Request icon in the toolbar.

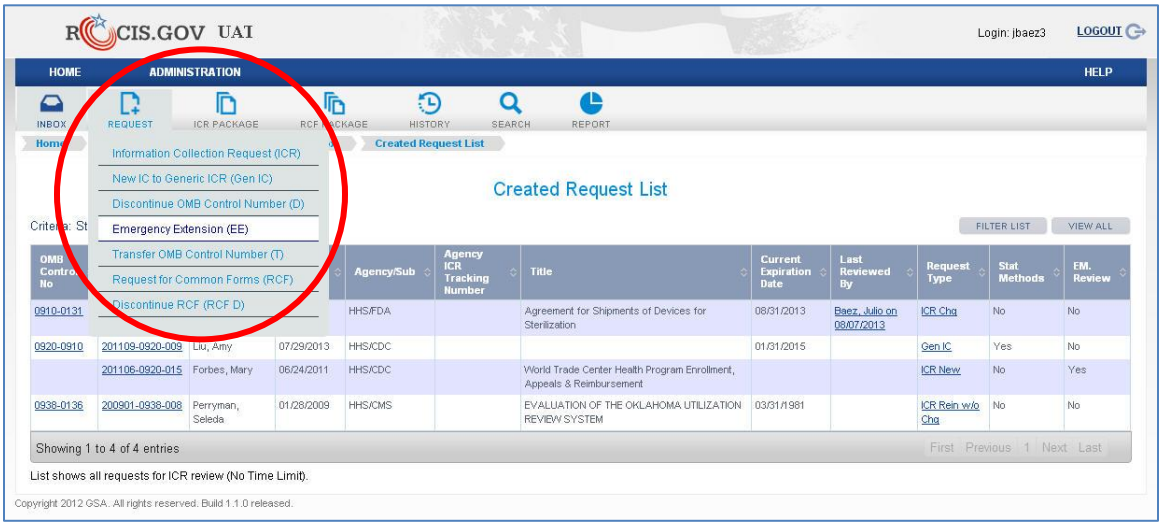


Figure 15.3: Toolbar Link to Request a New Emergency Extension

You will receive a screen that prompts you to enter the OMB Control Number.

Figure 15.4: Entry of OMB Control Number to Request an Emergency Extension

Upon entering the OMB Control Number and selecting Next, the Create Request for Emergency Extension of OMB Control Number will appear. The remainder of the process is exactly as stated in the first scenario.

16. REQUESTING TO DISCONTINUE AN OMB CONTROL

An active OMB control number should never be allowed to expire. If your agency is still using the collection, a new ICR should be prepared. If the collection is no longer needed, your agency should submit a request to discontinue the OMB control number.

You may create a Request to Discontinue an OMB Control Number the same way as to create an ICR.

1. Selecting the active ICR for the desired OMB Control # and then selecting the Discontinue (D) action button at the bottom of the page.

OR

2. Select Discontinue OMB Control Number (D) in the drop down list at the Request menu of the navigation toolbar.

1. In the first scenario, upon selecting the Discontinue (D) button at the bottom of the View ICR screen of the OMB Control Number's active ICR, you will be brought directly to the Create Request to Discontinue OMB Control Number screen with the information about the OMB Control Number and active ICR in the header box.

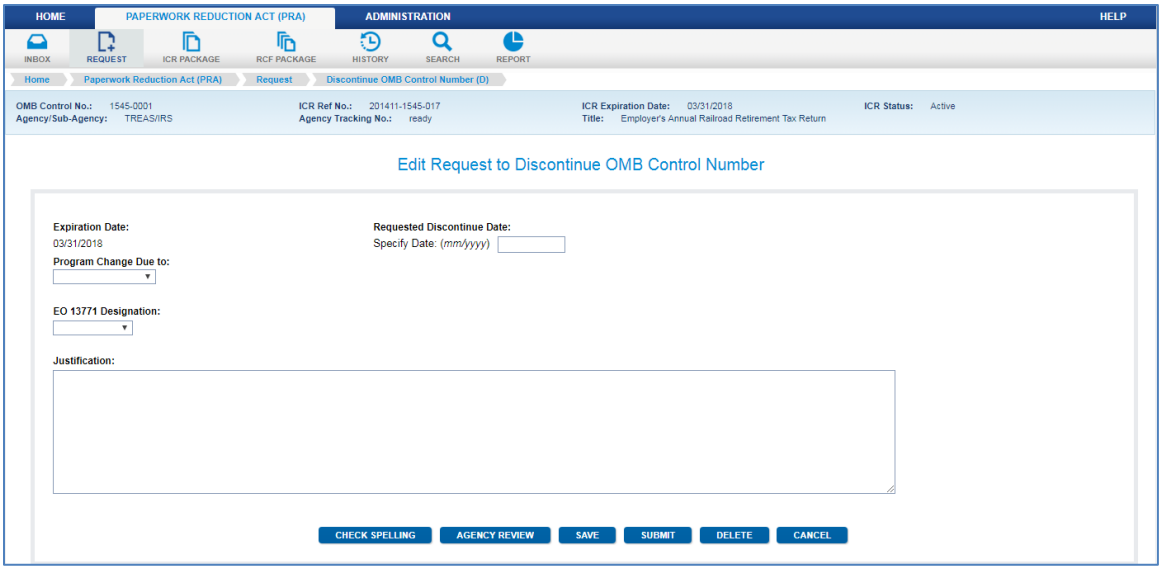


Figure 16.1: Create Request to Discontinue OMB Control Number screen

Complete your justification for OMB and an Agency Review note for internal agency users and select Save or Submit. A saved request will be displayed in the Created Request List inbox. You and other authorized agency users may return to edit the request. Your agency's authorized

paperwork contact (APC) may submit the request. Submitted requests will be displayed in the Submitted Request List and the item will be displayed in your OIRA desk officer's Pending Inbox.

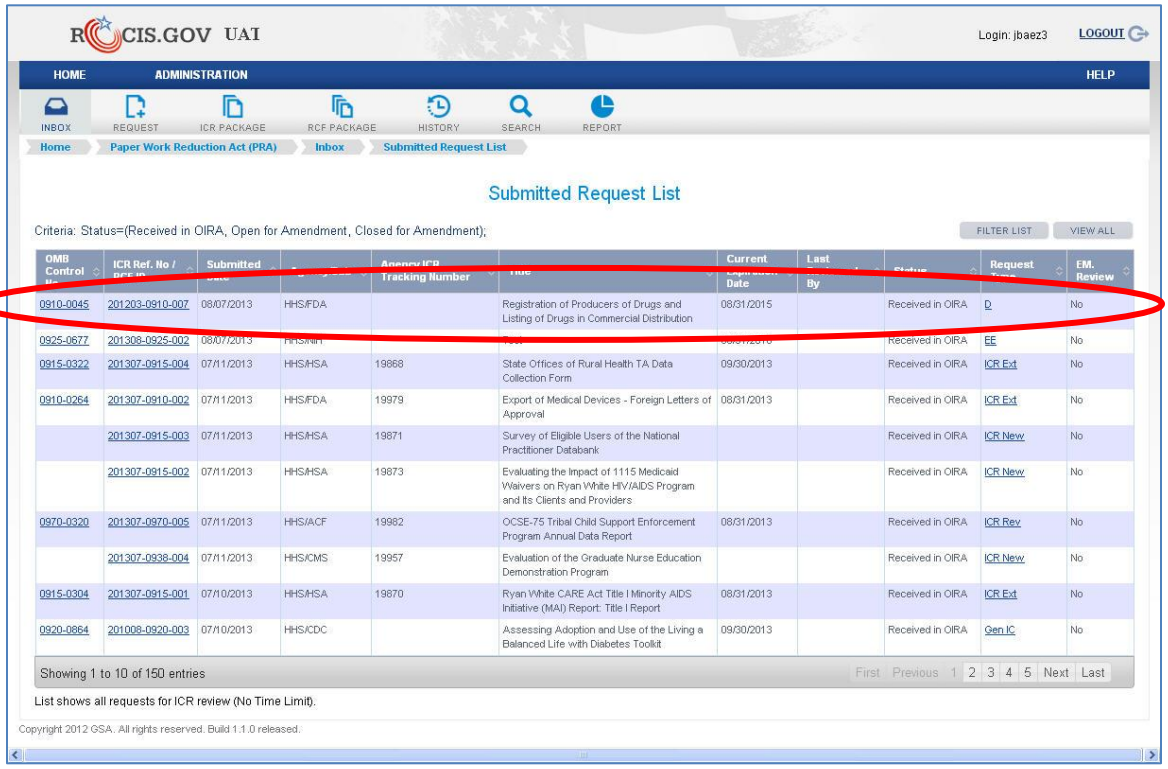


Figure 16.2: Submitted Request List screen with Newly Created Discontinue Request

2. The second way to create a request to discontinue is to select the Discontinue an OMB Control Number (D) from the list of drop down choices in the Request menu in the navigation toolbar.

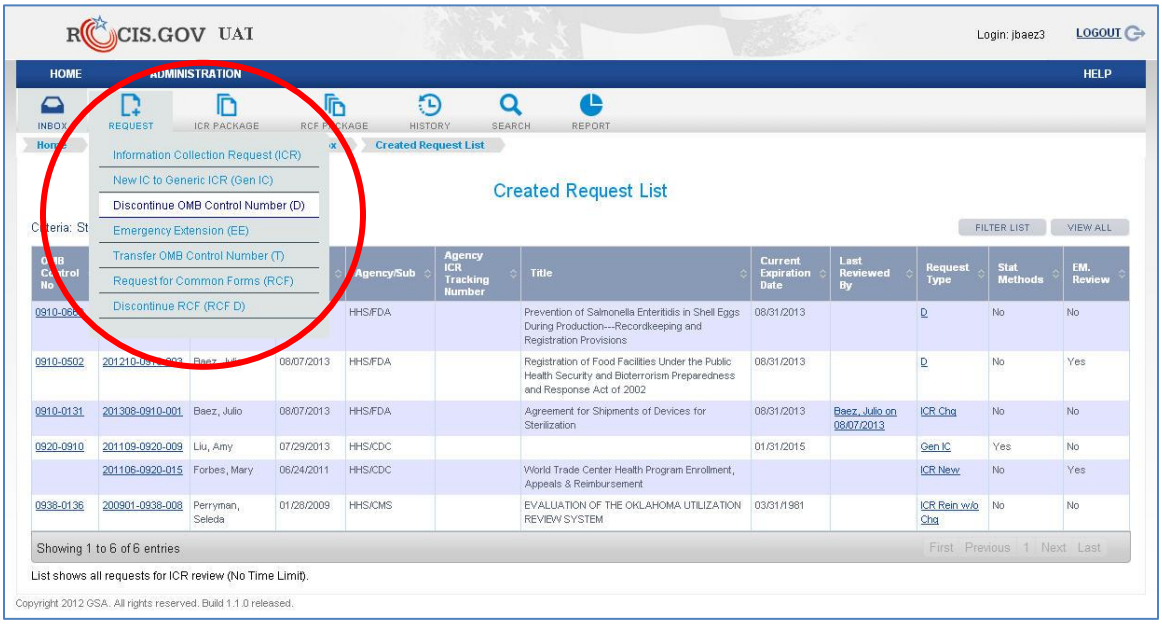


Figure 16.3: Discontinue OMB Control Number Link in Toolbar

You will be brought to a screen that asks you what OMB Control Number you'd like to discontinue.

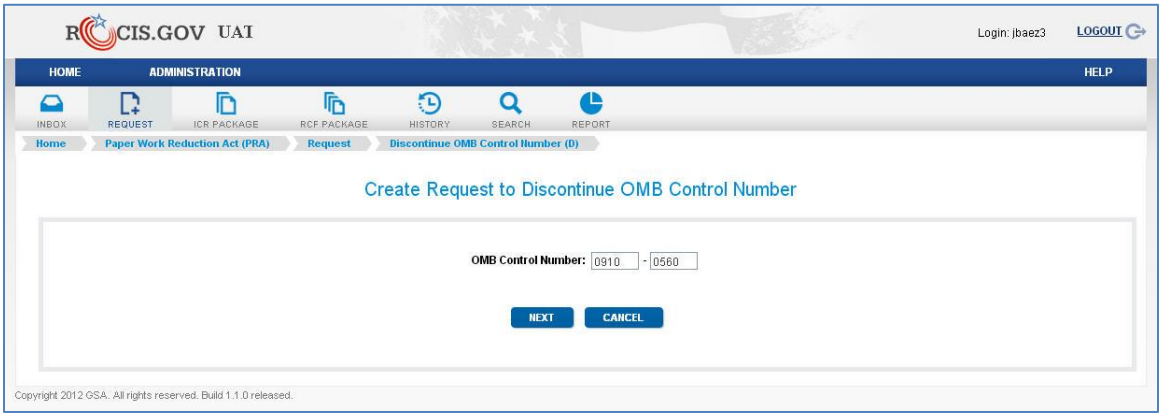


Figure 16.4: Entry of OMB Control Number to Request a Discontinuation

Upon entering the OMB Control Number and selecting Next, you will be brought to the Create Request to Discontinue an OMB Control Number. The remainder of the process is exactly as stated in the first scenario.

17. REQUESTING TO TRANSFER OF AN OMB CONTROL

You may create a Request to Transfer the same way as to create an ICR.

1. Selecting the active ICR for the desired OMB Control # and then selecting the Transfer (T) action button at the bottom of the page.

OR

2. Select Transfer OMB Control Number (T) in the drop down list at the Request menu in the navigation toolbar.

1. In the first scenario, upon selecting the Transfer (T) button at the bottom of the View ICR screen of the OMB Control Number's active ICR, you will be brought directly to the Create Request to Transfer OMB Control Number screen with the information about the OMB Control Number and active ICR in the header box.

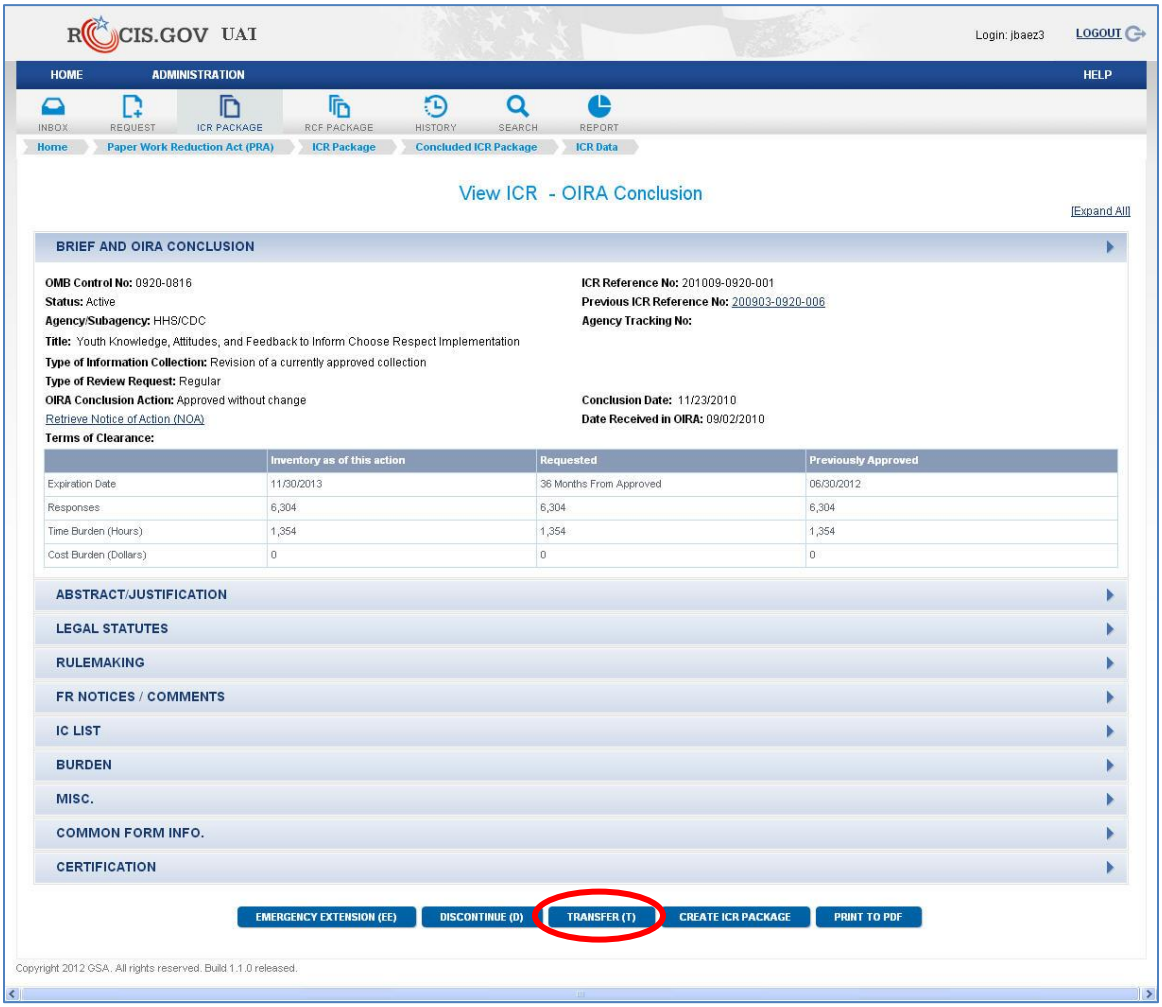


Figure 17.1: View ICR – OIRA Conclusion Screen

Enter the justification to OMB and the agency and/or sub-agency to which you wish to transfer the OMB Control Number. Please provide the reason for the transfer and whatever coordination has taken place between the two agencies/sub-agencies in the justification; such as noting memoranda for the record, etc. Please also write an internal Agency review note for status to other preparers and submitters in your agency. Upon submission, the transfer request will appear as a submission in the inboxes of both agencies/sub-agencies involved in the transfer.

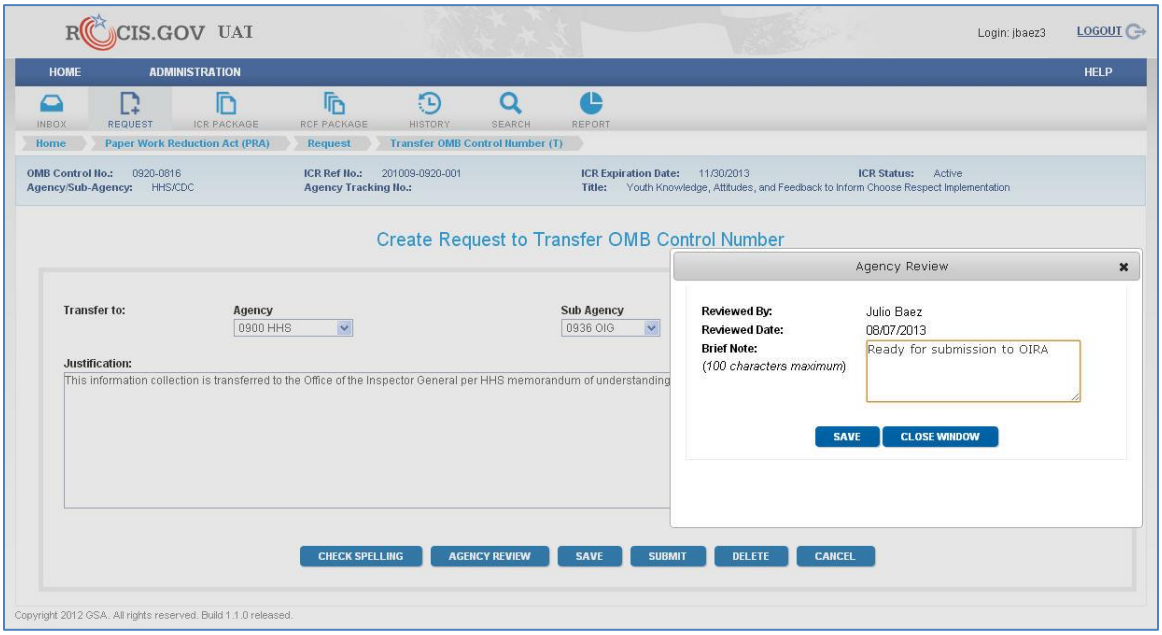


Figure 17.2: Create Transfer Request Screen with Agency Review Pop Up

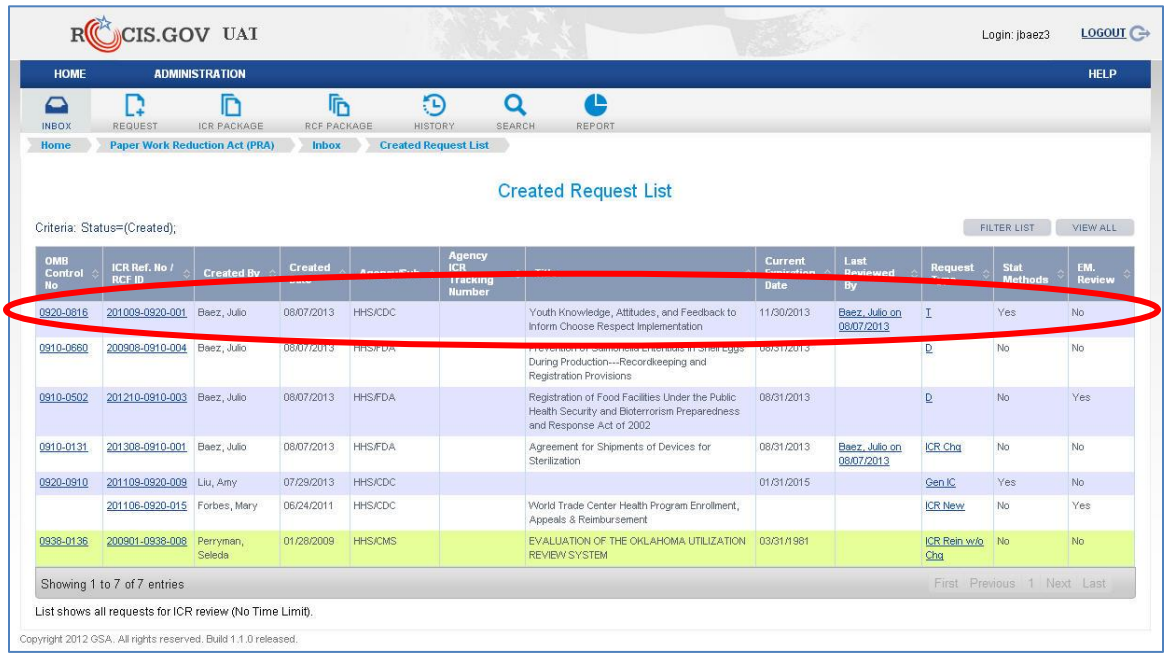


Figure 17.3: Created Request List with Newly Created Transfer Request

2. The second way to create a Request to Transfer an OMB Control Number is to select Transfer OMB Control Number from the drop down list at the Requests menu in the navigation toolbar, which will lead you to a screen that asks you to identify the OMB Control Number of the collection you wish to transfer.

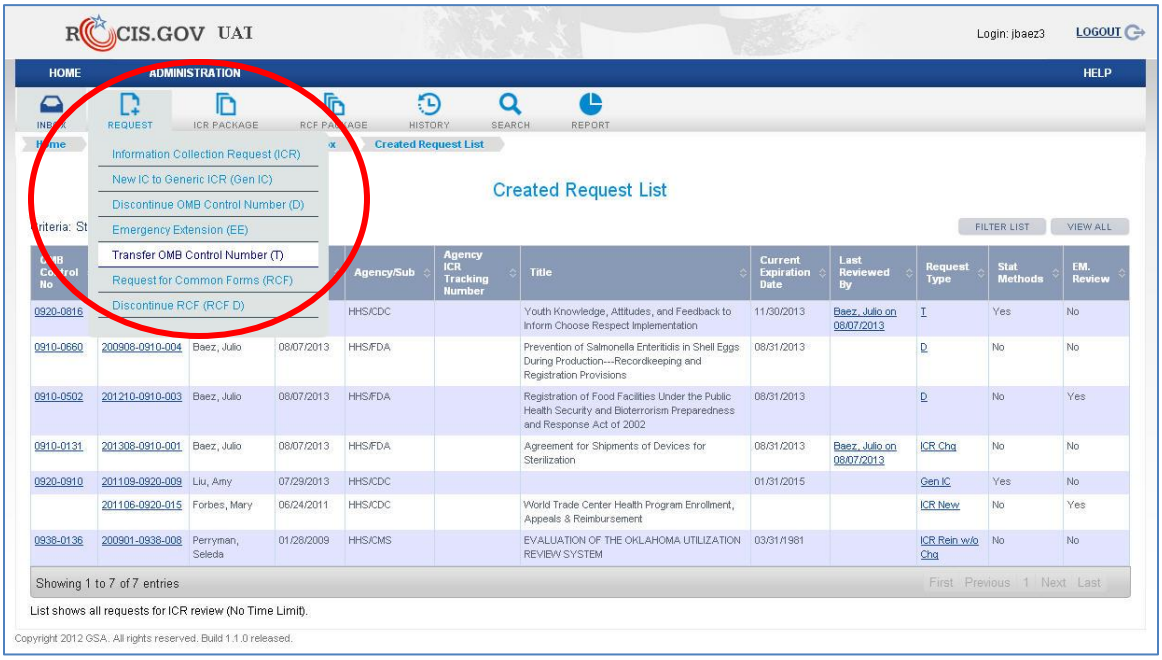


Figure 17.4: Transfer OMB Control Number Link in Toolbar

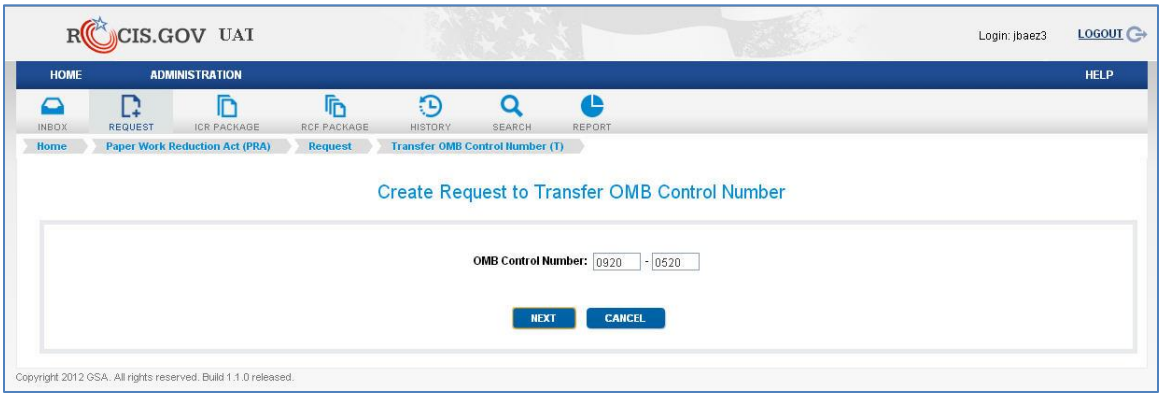


Figure 17.5: Entry of OMB Control Number to Request a Transfer

The remainder of the process is exactly as stated in the first scenario.

18. CREATING A GENERIC ICR AND REQUESTING GENERIC ICS

The generic ICR is created by selecting Information Collection Request (ICR) in the drop down at the Request menu of the navigation toolbar. In either a Create a New ICR from Scratch or Create an ICR from a Previously Reviewed or Approved ICR, be sure to enter a checkmark in response to the question posed, "Will this ICR be generic?"

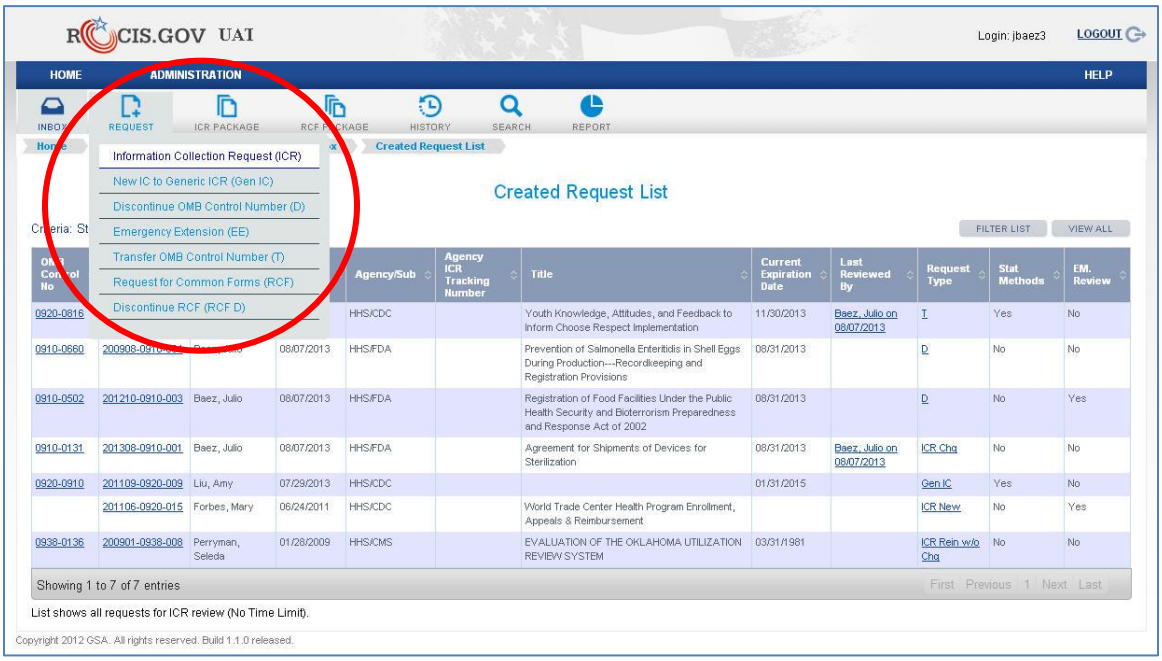


Figure 18.1: Information Collection Request Toolbar Link

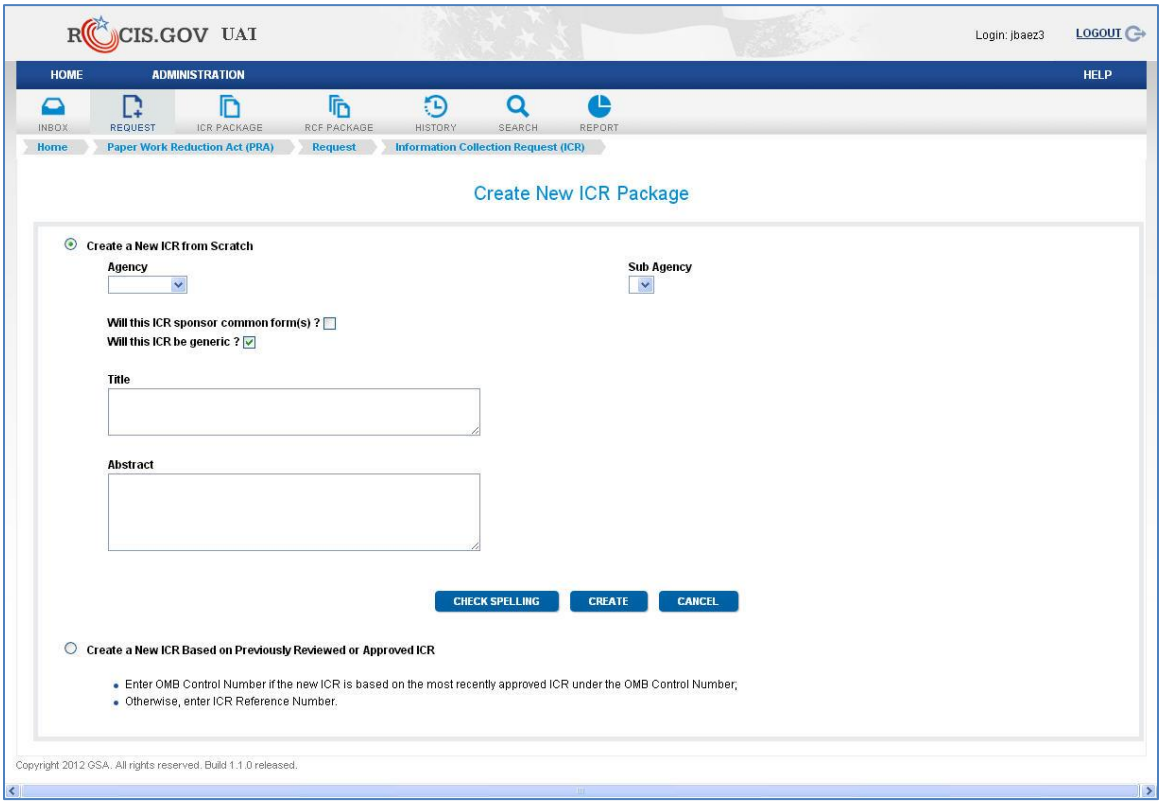


Figure 18.2: Create New ICR Package with Generic Option Selected

If you selected 'Create a New ICR Based on Previously Reviewed or Approved ICR' and selected the ICR Package would be generic, you will be asked "Will this be a non-substantive change request?" Selecting yes will create the non-substantive change request, copy the existing generic ICs from the previous ICR and calculate the burden budget appropriately. Selecting no will create the new ICR package and remove the non-substantive option from the Type of Information Collection drop down list. Generic ICs will not be copied to the new Generic ICR if you indicate that the ICR is not for a non-substantive change.

When you arrive in the Edit ICR screen upon clicking the Create button, complete the data as you would a regular ICR with one exception. You will be able to request the annual number of responses, the annual hour burden and annual cost burden by entering the request directly into the Requested column. The term 'annual' for generic ICRs may seem misleading. The numbers entered should be the total that your agency will require over the period of the request.

You will need to provide a Supporting Statement in the ICR Documents but you will not be required to complete an Edit IC screen unless you would like to submit one or more Generic ICs with the Generic ICR.

Upon approval from OIRA, the generic ICR will establish a "budget" The burdens for any generic ICs submitted with the ICR, and for any generic ICs submitted in the future under this

request, will be deducted from the available budget. If the entire number of responses, hours or costs has been exhausted, the approved 'budget' cannot be exceeded and, a new ICR request will need to be submitted.

To request a Generic IC, select New IC to Generic ICR (Gen IC) under the Request choices in the navigation toolbar.

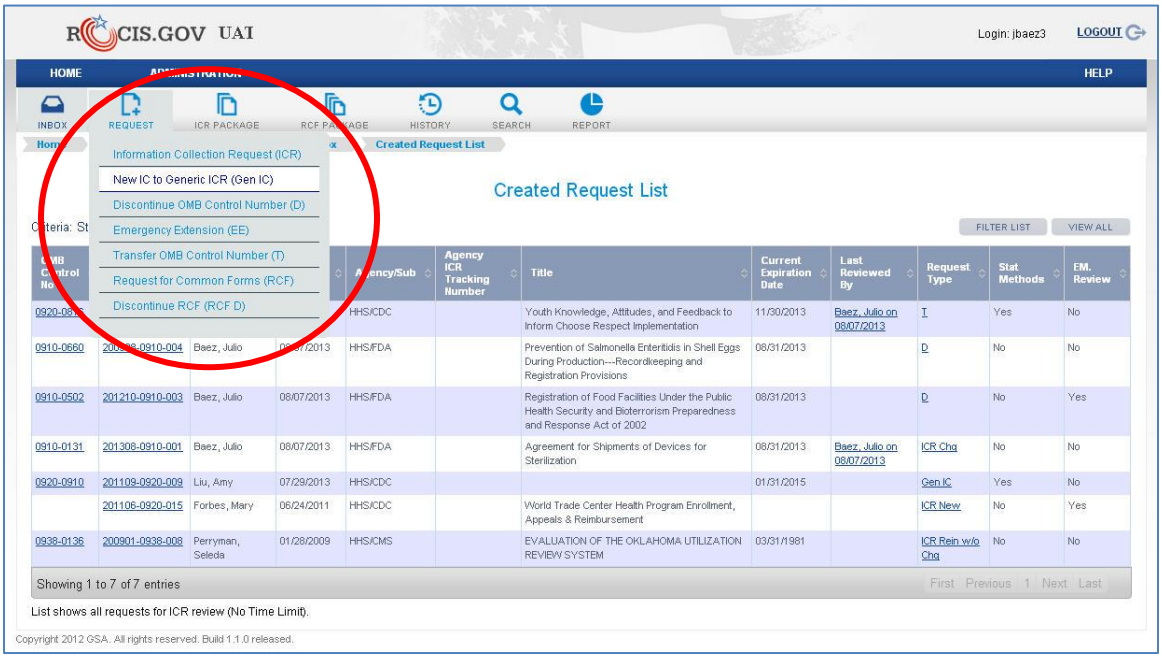


Figure 18.3: New IC to Generic ICR Toolbar Link

Enter the OMB Control Number of the Generic ICR and you will arrive at the Add New Generic IC to Existing OMB Control Number page. Enter IC information as you would a regular ICR, including the burden worksheet and upload a supplementary document if OIRA requires it. When you are ready to submit to OIRA for review, click the Submit Generic IC button.

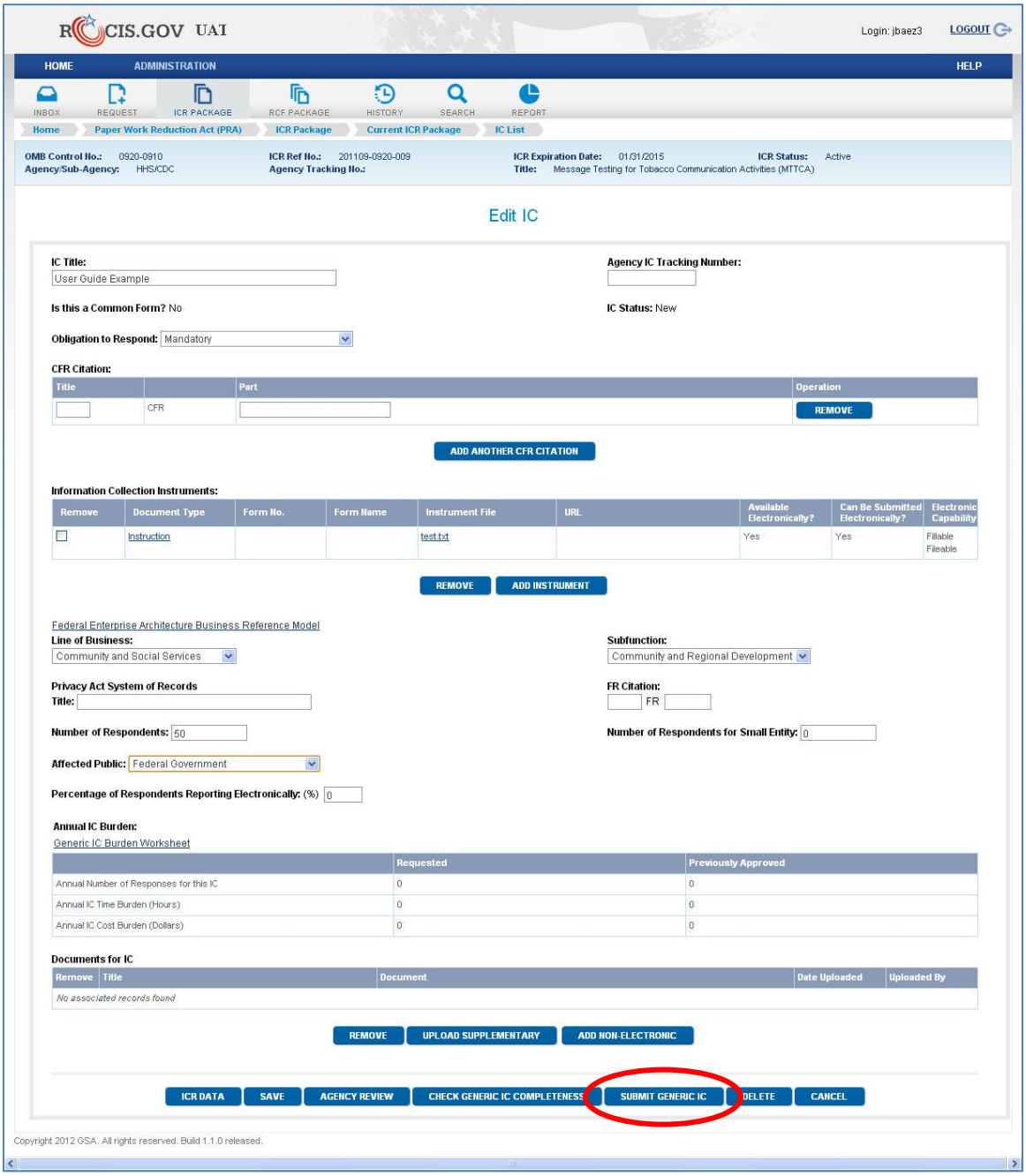


Figure 18.4: Add New Generic IC to Existing OMB Control Number

When the Generic IC is approved by OIRA, the List of ICs of the Generic ICR will show each approved IC and the resultant drawdown of the ICR approved budget.

19. CREATING AN ICR THAT HOSTS COMMON FORMS

In an effort to accurately account for the burden imposed on the public by federal government agencies through forms used government wide, ROCIS and RegInfo support Common Forms. The Common Forms functionality allows an agency (the host agency) to define their collections as Common Form Host ICRs, in which they report only the burden imposed by their usage of the form. Once approved by OIRA, all Information Collections (IC) included in the ICR are considered Common Forms and using agencies will submit a Request for Common Forms (RCF) to inform OIRA of their usage of the form. Appendix B of this document provides a list of Frequently Asked Questions (FAQ) on the usage of Common Forms.

The process of managing a Host ICR is very similar to managing a regular ICR, with a few exceptions. As this section of the document will only discuss the differences between regular ICRs and Host ICRs, please refer to the above sections for full descriptions of how to manage an ICR.

First, a Host ICR is created by selecting Information Collection Request (ICR) in the drop down at the Request menu in the navigation toolbar. An existing Host ICR can be renewed from the View ICR – OIRA Conclusion page, but to initially define an ICR as a Host ICR, it must be done through the toolbar. In either a Create a New ICR from Scratch or Create an ICR from a Previously Reviewed or Approved ICR, be sure to enter a checkmark in response to the question posed, “Will this ICR sponsor common form(s)?” When the Common Forms check box is checked, all ICs contained in the ICR will be available for use by using agencies. Please note that an ICR cannot be both a Generic ICR and a Common Form Host ICR.

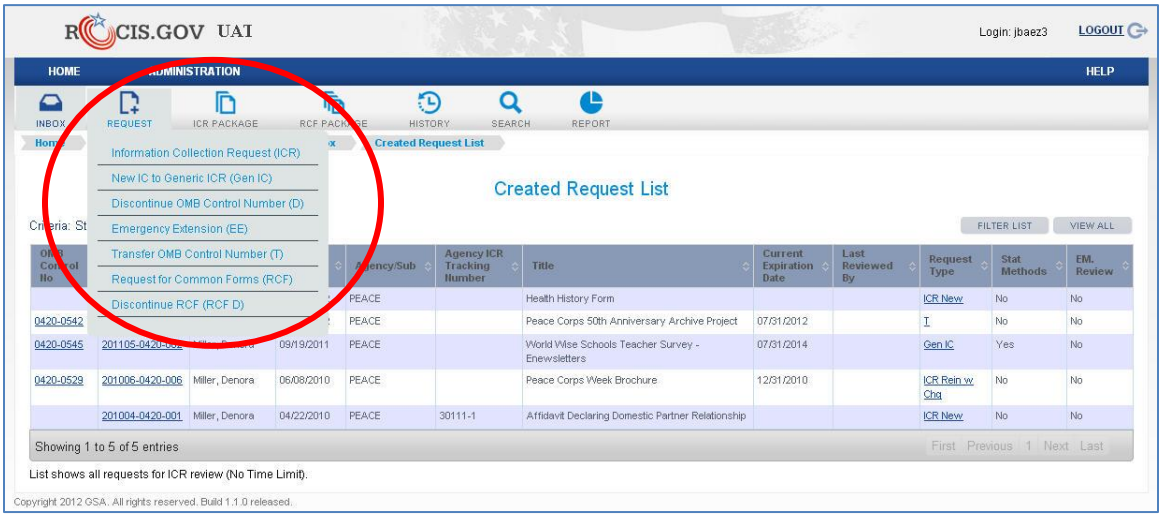


Figure 19.1: New ICR from Scratch with Toolbar Link

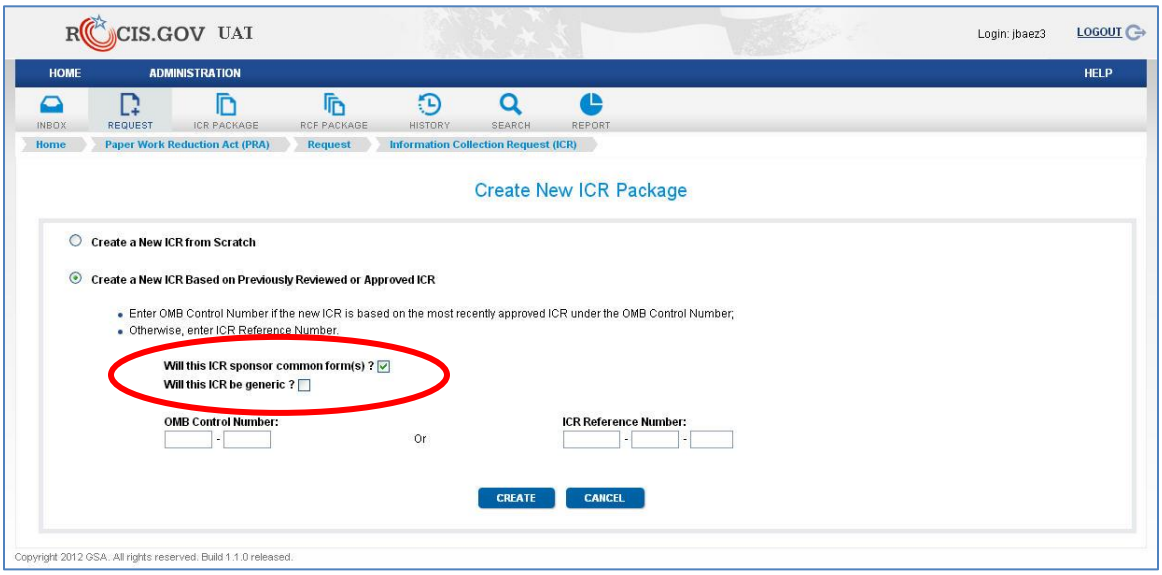


Figure 19.2: New ICR based on Previous with Common Form checkbox

When you arrive on the Edit ICR screen upon clicking the Create button, complete the data as you would a regular ICR with two exceptions.

First, there is an additional field for the "Description/Changes for Common Form Usage." The intent of this field is allow host agency to communicate to the using agency any directions for usage or changes to the form or burden since the last review. The "Description/Changes for Common Form Usage" will be visible to ROCIS users, including OIRA and using agency staff, but will not be visible on Reginfo.

Second, when answering the Annual Cost to the Federal Government question, only include costs to the Host Agency. Costs incurred by using agencies will be reported as part of their RCF request.

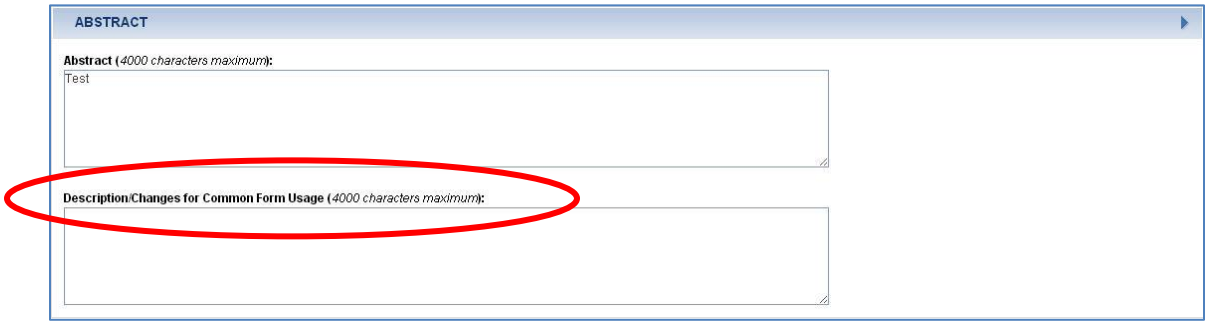


Figure 19.3: Edit ICR page with the Description/Changes for Common Form Usage field

Similar to a regular ICR, a Common Form Host ICR must contain at least one Information Collection (IC), but can contain more than one. Creating and updating a Common Form IC is identical to creating and updating a regular ICR with two exceptions. First, for each regular IC, at least one CFR citation or at least one information collection instrument (ICI) must be provided. For a Common Form IC, at least one ICI must be provided, but more can be included. A common form IC can include one or more CFR citations, but it must include at least one ICI. Second, while all ICs on a regular ICR must have some burden, you can set the burden of an IC to zero by specifying zero as the Number of Respondents. This will be useful if the host agency no longer uses the common form, but other agencies still do.

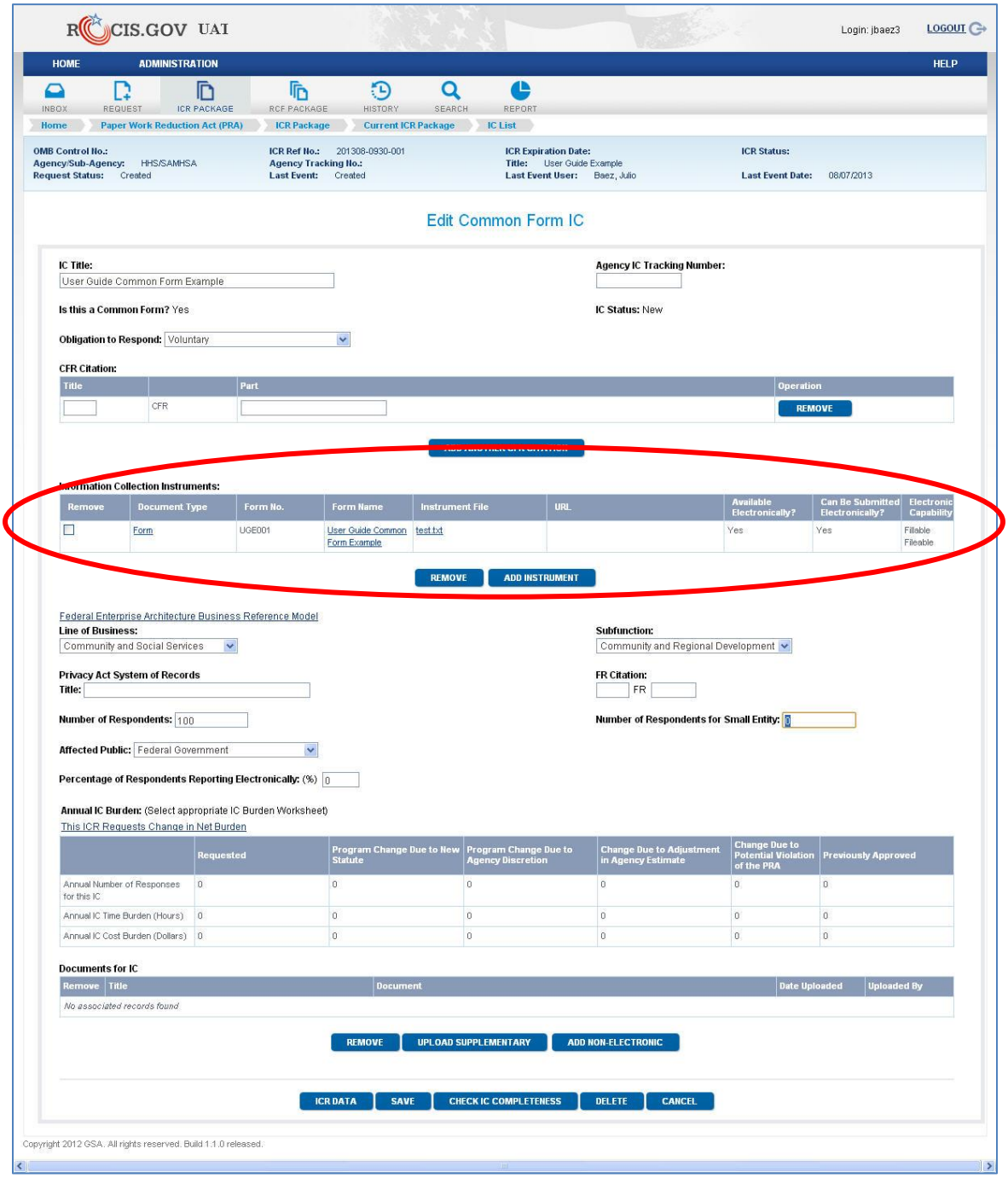


Figure 19.4: Edit Common Form IC Screen with ICIs

There are no changes to the submission, open for amendment or conclusion processes for a Common Form ICR. However, after the ICR has been concluded, ROCIS will display a listing of the usage of the form by all using agencies on the View ICR – OIRA Conclusion Page.

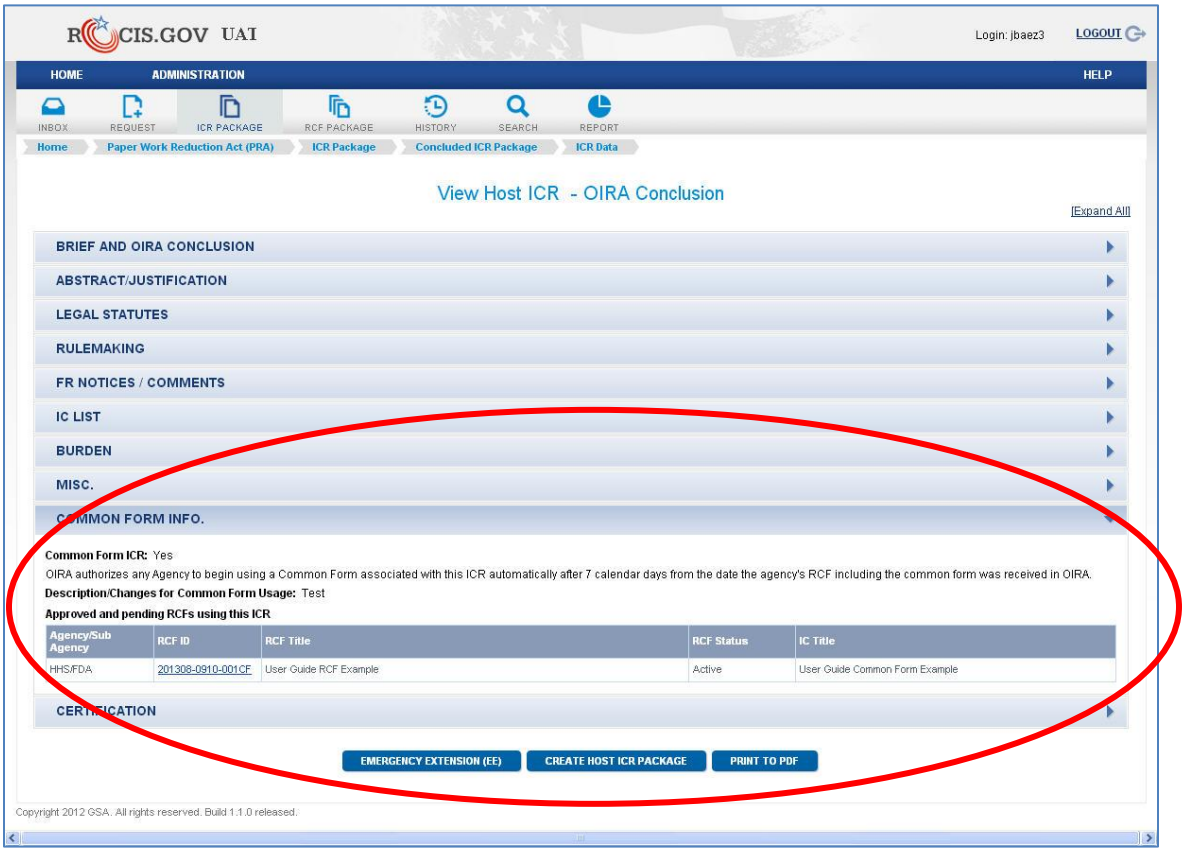


Figure 19.5: View ICR – OIRA Conclusion with associated RCFs

Some additional points to note about Common Form ICRs:

1. Common Form ICRs cannot be transferred, even if the Host Agency is no longer using the form. The Host Agency must still maintain approval of the Host ICR, but can set the number of respondents to zero, and therefore not imposing burden on the public.

2. Unless its burden has been set to zero, a Host ICR cannot be directly discontinued, but as long as there are no active or pending RCFs referencing the Host ICR, it can be converted to a regular ICR, and then discontinued. The conversion to a regular ICR is immediate and does not require OIRA approval and is processed by clicking the Convert to Regular ICR button on the View ICR – OIRA Conclusion page for the Host ICR. The agency can then continue using the form or discontinue it using the instructions above. Please note; because ICs on a regular ICR must have at least some burden associated with it, any ICs with zero respondents will automatically be removed from the Host ICR when converted to a regular ICR.

3. If the burden hours of a Host ICR is zero and there are no active or pending RCFs referencing the Host ICR, the Host ICR can be discontinued directly. The discontinuation of the Host ICR is immediate and does not require OIRA approval and is processed by clicking the Discontinue (D) button on the View ICR – OIRA Conclusion page for the Host ICR.

4. When a Common Form ICR expires, all using agency RCFs expire as well.

5. When an Emergency Extension to an active Host ICR is approved, all using agency RCFs will be automatically extended.

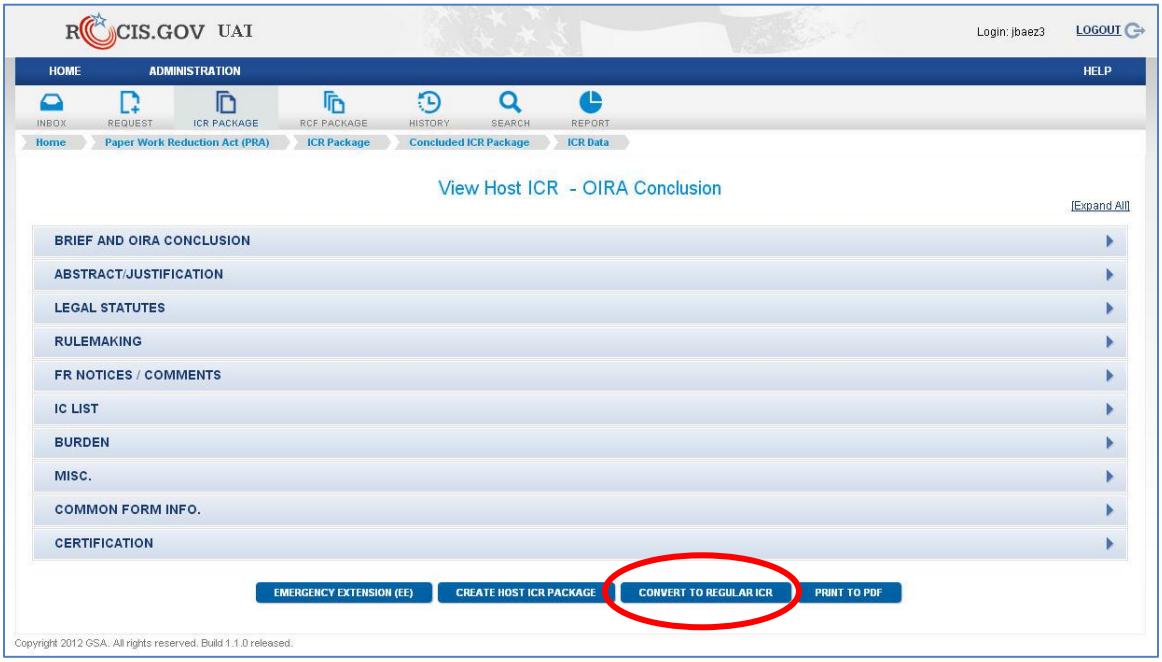


Figure 19.6: View ICR – OIRA Conclusion with Conversion Button

20. CREATING A REQUEST FOR COMMON FORMS

In order to utilize a Common Form defined in a Host ICR, a using agency must create and submit a Request for Common Forms (RCF). Although an RCF shares many characteristics with ICRs, RCFs impose far fewer requirements of the using agency than an ICR.

First, because public comment has already been conducted on the Host ICR, an RCF requires no Federal Register notices prior to submission to OIRA.

Second, no supporting statement or other documents are required when submitting an RCF.

Third, the using agency is not required to resubmit the request every three years for review. Upon approval, the expiration date of an RCF is automatically set to that of its Host ICR. Any time the Host ICR's expiration date is updated through either a renewal or Emergency Extension, ROCIS will automatically recertify any active related RCF, with no action required of the using agency. Alternately, when the Host ICR is expired, all the active RCFs will be expired as well.

Appendix B of this document provides a list of Frequently Asked Questions (FAQ) on the usage of Common Forms.

An RCF is created by selecting Request for Common Forms (RCF) in the drop down at the Request icon in the toolbar.

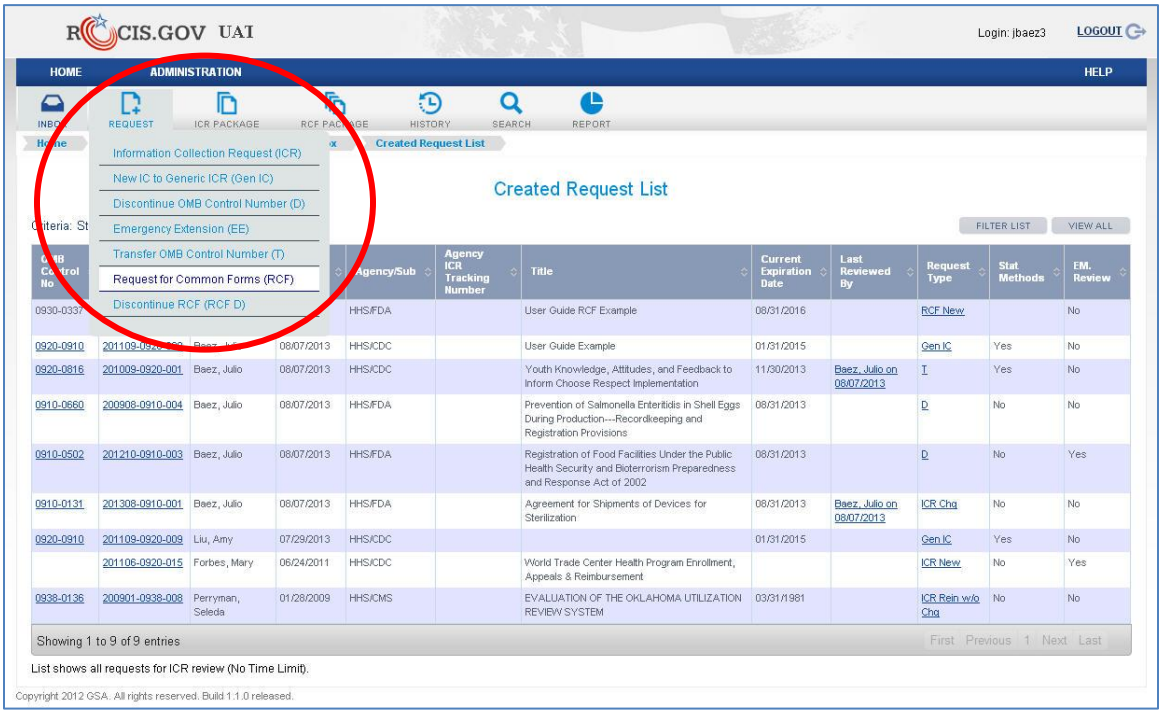


Figure 20.1: Toolbar RCF Link

To create a new RCF select the Create a New Request for Common Forms (RCF) radio button and enter the Agency/Sub-agency, the Title and a brief description of how the agency will be using the Common Form, then click the Create button. Creating a Non-Substantive Change to an Active RCF will be discussed in a later section of this document.

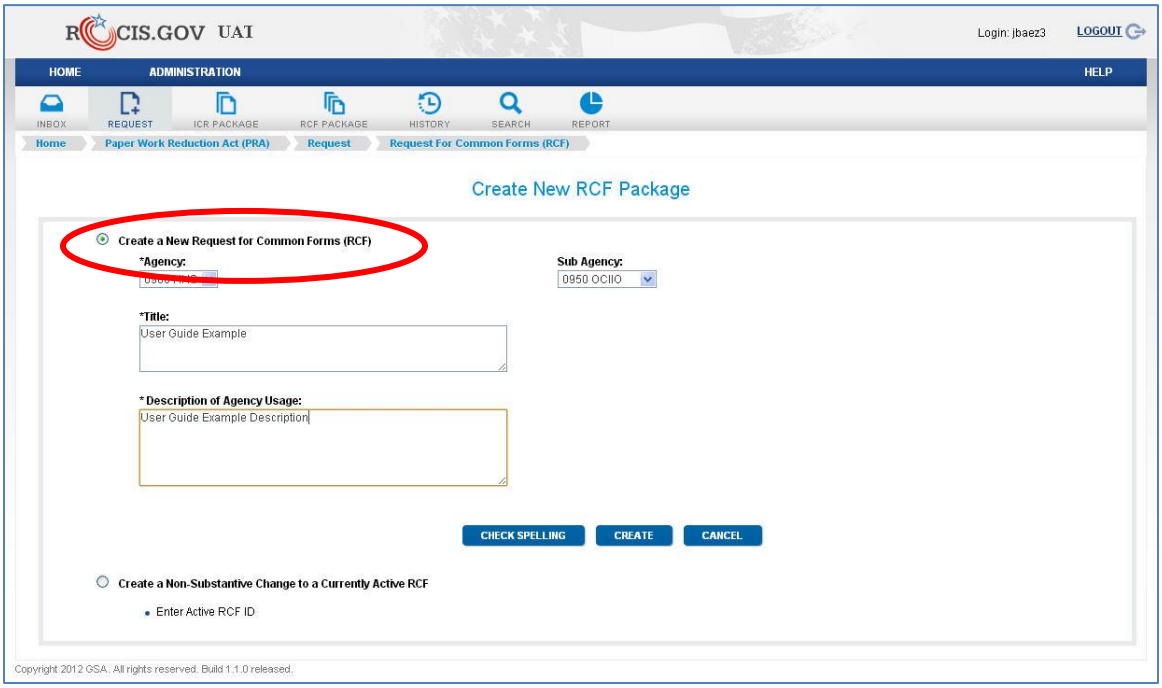


Figure 20.2: Create New RCF Package Screen

Next, you are asked to search for and identify the Host ICR that contains the Common Form you would like to use. To do so, enter search criteria to find the Host ICR and click the Common Form Search button.

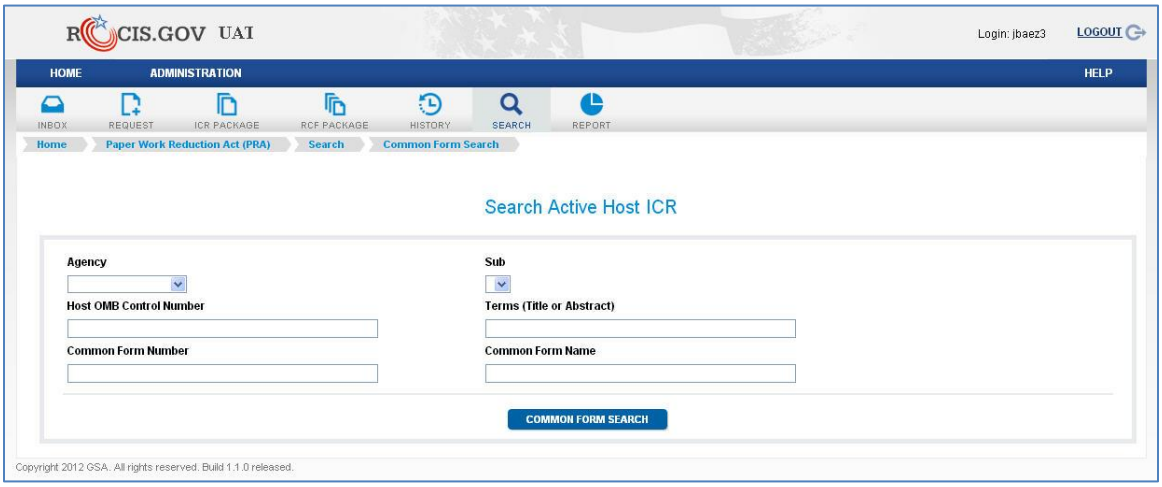


Figure 20.3: Search Active Host ICR

ROCIS will then return a list of currently active Host ICRs that meet your criteria. To see more information on the Host ICR, click its ICR Reference Number. To view a form associated with the Host ICR, click on its form name from the Form Name column. Once you have identified the

correct host ICR from the list, select its radio button in the left column and click the Continue button.

Please note; an RCF can only be associated with one currently active Host ICR. To request the usage of common forms from multiple Host ICRs, you will need to submit a separate RCF for each Host ICR.

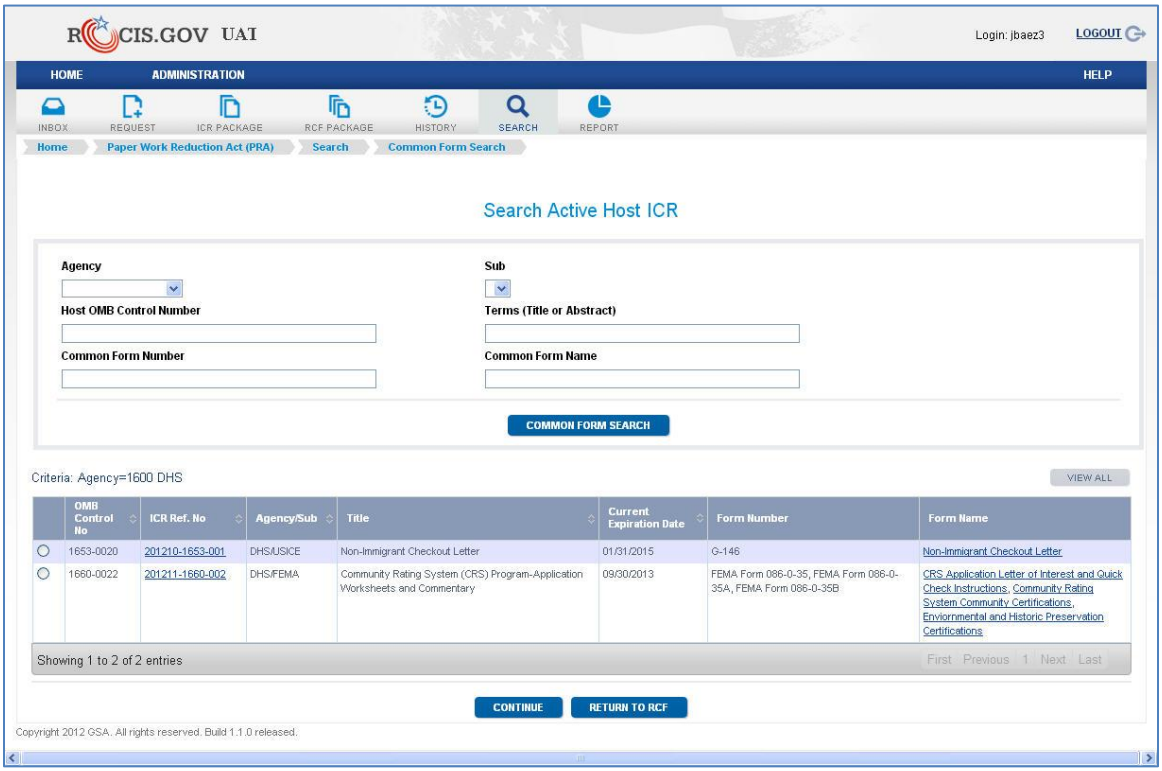


Figure 20.4: Search Active Host ICR Screen with Search Results

After selecting the Host ICR, ROCIS will present the list of Information Collections associated with the Host ICR. In the example below, the selected Host ICR contains three common form ICs that can be requested as part of the RCF. To help identify the correct IC, click on the IC Title to see information on the IC and its burden or click on the Form Name to see the form itself. Once you have identified the necessary Information Collections, place a checkmark in its respective checkbox and click the Add to RCF button. You must select at least one IC, but you do not have to select all of the ICs. The same Common Form IC can be included multiple times in an RCF, either to apply it to multiple affected publics/obligations to respond/lines of business or simply to track particular uses of the form by separate programs within the using agency.

After clicking the Add to RCF button, ROCIS will display the Edit RCF page. Please see the following section for instructions on editing the RCF request.

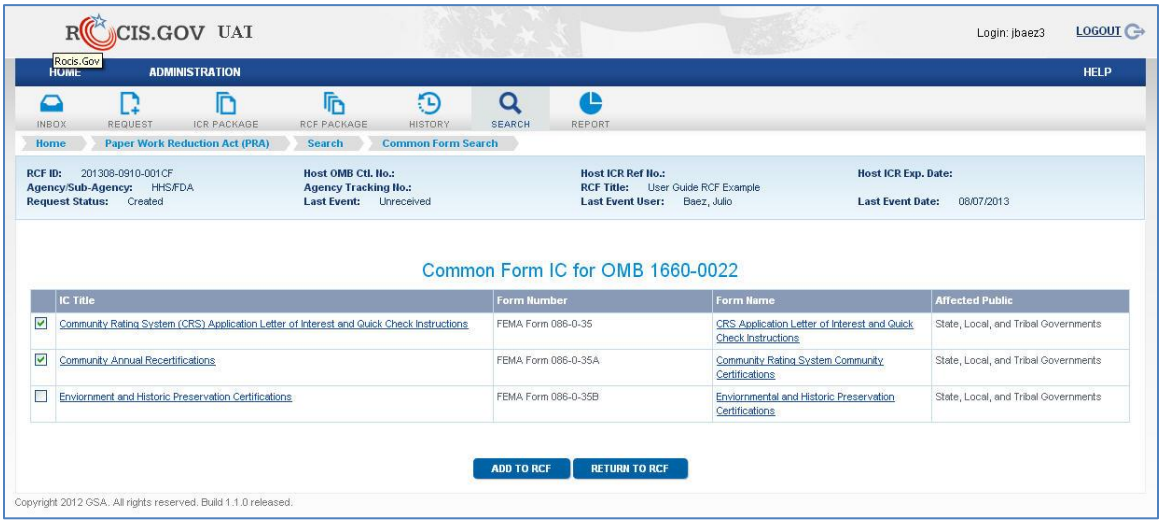


Figure 20.5: ICs Available for Use from the Selected Host ICR

21. UPDATING A REQUEST FOR COMMON FORMS

An RCF is structured much like an ICR in that some data applies to the entire RCF and some data applies only to specific ICs.

Completing the Fields of the EDIT RCF Screen

These instructions should be used in conjunction with 5 CFR 1320, which provides information on coverage, definitions, and other matters of procedure and interpretation under the Paperwork Reduction Act of 1995.

1. Title
Provide the official title of the Request for Common Forms. If an official title does not exist, provide a description which will distinguish this collection request from others and enable text searches on titles.

2. Agency RCF Tracking Number
This data item was provided in ROCIS at the request of agencies. It is not edited by ROCIS, and thus can be used to input any information which might be helpful to distinguish RCFs. For instance, agencies without sub agency codes can use the Agency Tracking Number to identify ICRs to divisions, branches or individuals. This data item may be used as one criterion for an advanced search and is displayed in the Inbox request lists.

3. Description of Agency Usage
This is similar to the Abstract of an ICR. Please provide a statement, limited to 4,000 characters of text, covering the agency's need for the information, uses to which it will be put, and a brief description of the respondents. You may want to include keywords (descriptors) from the "Federal Register Thesaurus of Indexing Terms" that describe the subject area(s) of the information collection in titles and abstracts.

4. Agency Contact
Provide the name and telephone number of the agency person best able to answer questions regarding the content of this submission. If sensitive to having this name published on the ROCIS website, http://www.reginfo.gov, please consider using the name of the agency's Clearance Officer.

A drop down list is provided of persons who are ROCIS users or were previously listed as agency contacts for PRA. If the name of this contact is in the list, simply select it. If the name of the person you want to reference is not in the list, you will need to add the individual as a contact. Please refer to previous sections above for instructions on how to enter a new contact.

5. Authorizing Statute
Provide the statute that is the source of the RCF, if one exists, otherwise leave it blank.

6. EO 13771 Designation
This is not a required field. Select the appropriate option from the values provided, if applicable (see M-17-21 for more information).

Deregulatory - "an action that has been finalized and has total costs less than zero";

7. RCF Summary of Burden
Burden is accounted for at the information collection (IC) level; that is, per collection, whether one collection or multiple collections within one RCF. For an RCF, the ICs are largely defined in the Host ICR, including the Information Collection Instruments (ICI) and the Hours/Cost per Response, but the using agency does provide information how the form will be used (ex. affected public, obligation to respond, and line of business) and how often the form will be used (ex. annual number of responses). Therefore, the Edit RCF page will display the sum of the burden entered on the burden worksheets for each IC. To enter your burden request, SAVE the RCF Data by clicking on Save at the bottom of the Edit ICR screen, and select one of the ICs from the Common Form IC(s) in this RCF list. This will take you to the Edit RCF IC page.

To add an additional IC(s) from the host ICR, click the Add Common Form IC button, select the IC(s) from the list and click Add to RCF button. ROCIS will then display the Edit RCF screen again with the added IC(s).

A selected IC can be removed from the RCF by checking the radio box in the "Remove" column. Every time an IC is removed from the RCF the system will automatically re-calculate the RCF summary of burden.

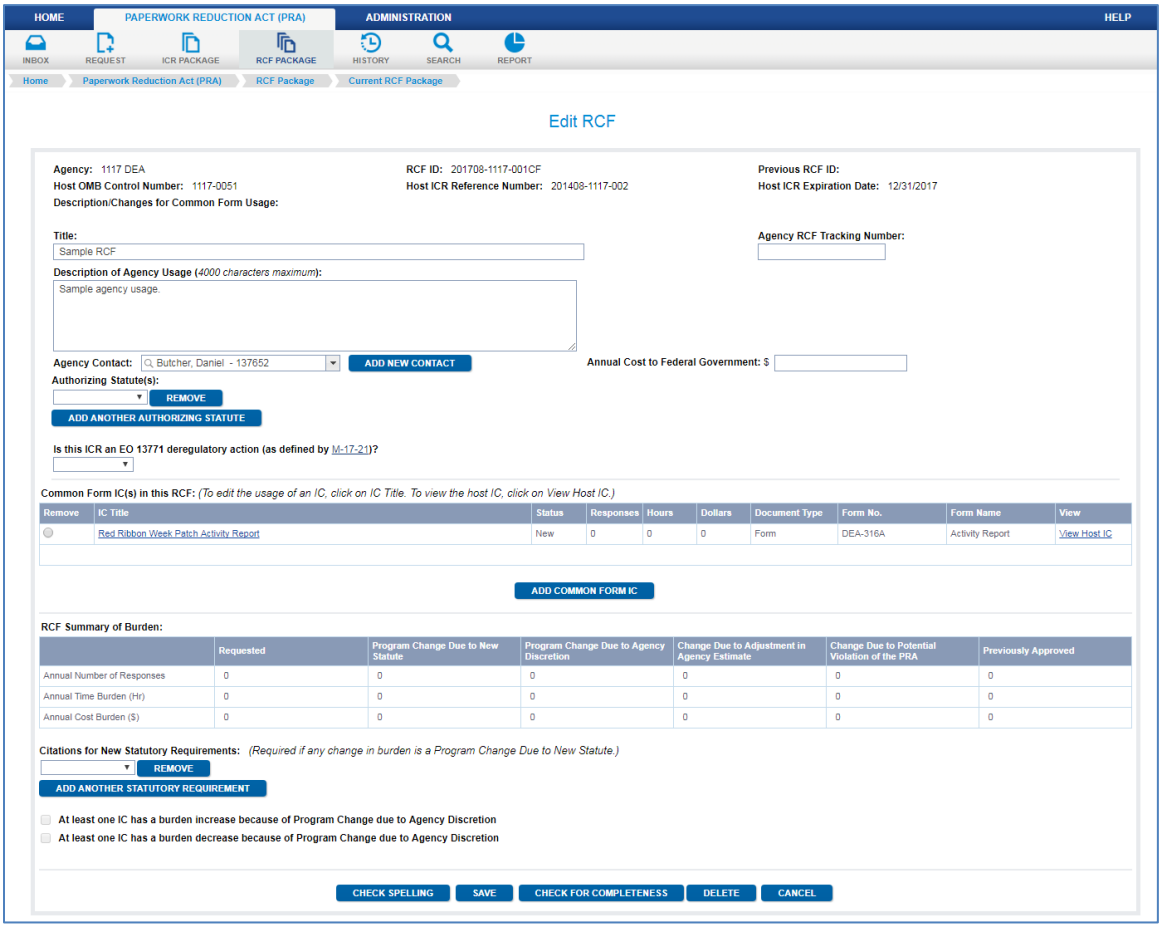


Figure 21.1: Edit RCF

Completing the Fields of the EDIT RCF IC Screen

Each IC must have one obligation to respond, one affected public, and one line of business. If there is more than one value of any of these for the RCF, separate ICs will be required. For example, if the information is collected from state and local governments and individuals, one IC must be created with an affected public of 'state and local governments' and one for 'individuals or households'. For more information on this topic, refer to Appendix A of this document.

1. Common Form IC Title

This will be copied from the Host ICR.

2. IC Status

ROCIS will populate this field; no entry by the agency is required.

3. Information Collection Instruments

An “instrument” is the mechanism for gathering the information. The most obvious and easily identified type of instrument is a paper or electronic form or a survey, but it may be a web-based application, a telephone script, or any other means used to collect the information. For an RCF IC, the instruments are defined by the Host ICR and cannot be changed by the using agency.

4. Obligation to Respond:
By default, ROCIS will assign the value from the Host ICR, but it can be changed by the using agency, if necessary. The “obligation to respond” is either mandatory, required to obtain benefits, or voluntary. Select the category that applies to the IC. If more than one category applies, you will need to create an IC for each affected category to account for the burden associated with that category.

a. Mark "Voluntary" when the response is entirely discretionary and has no direct effect on any benefit or privilege for the respondent.
b. Mark "Required to obtain or retain benefits" when the response is elective, but is required to obtain or retain a benefit.
c. Mark "Mandatory" when the respondent must reply or face civil or criminal sanctions.

5. Agency RCF Tracking Number:
This field is entirely optional. One possibility is to provide the IT investment number (Exhibit 300 ITBRS number) when an information system is associated with the ICR.

6. Federal Enterprise Architecture Business Reference Model Line of Business and Sub-function:
By default, ROCIS will assign the value from the Host ICR, but it can be changed by the using agency, if necessary. The “line of business” refers to the federal government’s lines of business in services to citizens and management of governmental resources affecting citizens as defined by the Federal Enterprise Architecture Business Reference Model.

The Business Reference Model is a function-driven framework for describing the business operations of the federal government independent of the agencies that perform them. The Business Reference Model lines of business provide a way to identify “government-wide common solutions for improved service to citizens.”

If an IT investment/system is related to the information collection, the line of business should be that which is used by the agency to justify the IT investment in its Exhibit 300. If there is no system, please use the definitions of the line of business that most accurately reflects the “business” of the collection.

Because lines of business functionally cross organizations, assignment of lines of business to ICs will also enable identification of potential opportunities for merged and/or common forms and reduced burden.

7. Privacy Act System of Records and FR Citation: Enter if applicable.

8. Number of Respondents:
This is the basis for a burden number that is calculated by ROCIS on the Burden Worksheet.

9. Number of Respondents for Small Entity:
Indicate the number of small entity respondents upon which the information collection will have a significant impact. A small entity may be (1) a small business which is deemed to be one that is independently owned and operated and that is not dominant in its field of operation; (2) a small organization that is any not-for-profit enterprise that is independently owned and operated and is not dominant in its field; or (3) a small government jurisdiction which is a government of a city, county, town, township, school district, or special district with a population of less than 50,000.

10. Affected Public:
By default, ROCIS will assign the value from the Host ICR, but it can be changed by the using agency, if necessary. Select one from the following choices: federal government; households and individuals; the private sector; and state and local governments. You may select one of the choices per IC. If you select private sector, you will be presented another set of choices to select from; i.e., private sector, farms, and not-for-profit institutions. You may select more than one of these. No IC may have more than one affected public value. If there is more than one affected public, a separate IC will be required for each of the four primary values listed above.

11. Percentage of Respondents Reporting Electronically
Enter the estimated percentage of responses that will be submitted/collected electronically using electronic means, such as electronic mail, (mailed) diskette, or web-based transaction. <u>Facsimile is not considered an electronic submission.</u>

12. Annual IC Burden (Select appropriate IC Burden Worksheet):
Burden is calculated and accounted for at the IC level. Therefore, new burden and increases and/or decreases to existing burden are requested on the Edit IC screen and, more specifically, through the Burden Worksheet pop-up screens circled below.

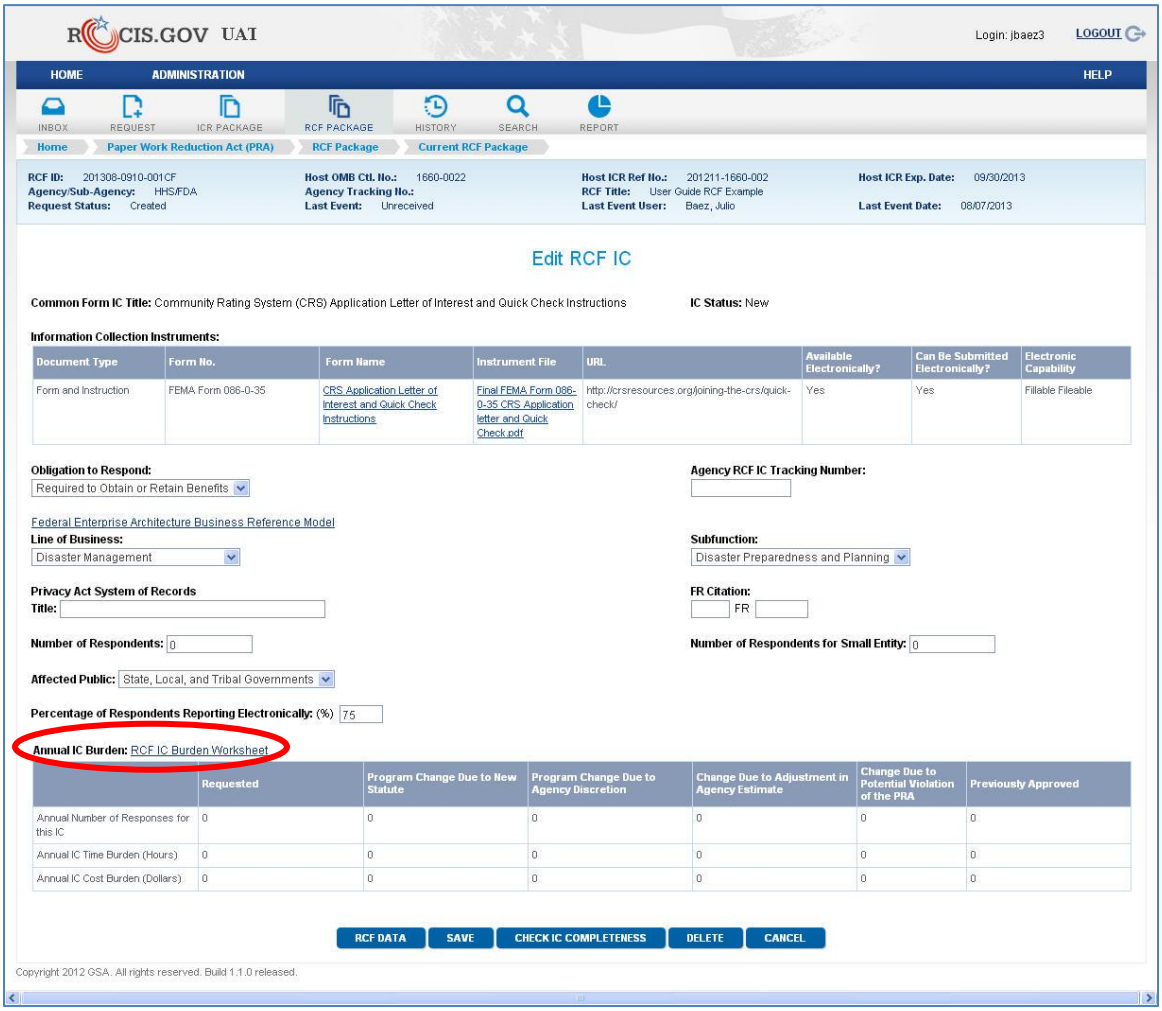


Figure 21.2: Edit RCF IC

How to Calculate and Record Burden at the RCF IC level

To request new burden or to change burden, enter the Number of Respondents field and click the link "RCF IC Burden Worksheet." ROCIS will populate the worksheet with the Number of Respondents entered on the Edit IC screen.

Enter the Number of Responses per Respondent and select the per Time Period from the drop down of frequency options. ROCIS will calculate Annual Frequency and Annual Number of Responses based on your choice.

Because they are determined by the Host ICR, the values for Time per Response and Cost per Response cannot be edited as part of the RCF.

If any of the burden time is allocated to the 'reporting category', a 'frequency of reporting' schedule will pop up next to the 'Burden per Response' box. Choose as many as apply. Multiple choices are acceptable. Frequency of Reporting selections do not affect burden calculations.

ROCIS will place the change between the current inventory and the request in the "Program Change Due to Agency Discretion" or 'Change Due to Violation of the PRA' columns to identify the reasons for the change. See example

Annual IC Burden: RCF IC Burden Worksheet

	Requested	Program Change Due to New Statute	Program Change Due to Agency Discretion	Change Due to Adjustment in Agency Estimate	Change Due to Potential Violation of the PRA	Previously Approved
Annual Number of Responses for this IC	25	0	25	0	0	0
Annual IC Time Burden (Hours)	1,125	0	1,125	0	0	0
Annual IC Cost Burden (Dollars)	1,363	0	1,363	0	0	0

Figure 21.3: IC Burden Worksheet – Annual Responses and Burden with Changes

You may adjust a number in the diagram above if a box appears around the number. To change a number, move the cursor to the box where you want the new number to appear, and enter the new value. The "Program Change Due to Agency Discretion" column will be automatically updated by ROCIS. The "Change Due to Violation of the PRA' column cannot be changed.

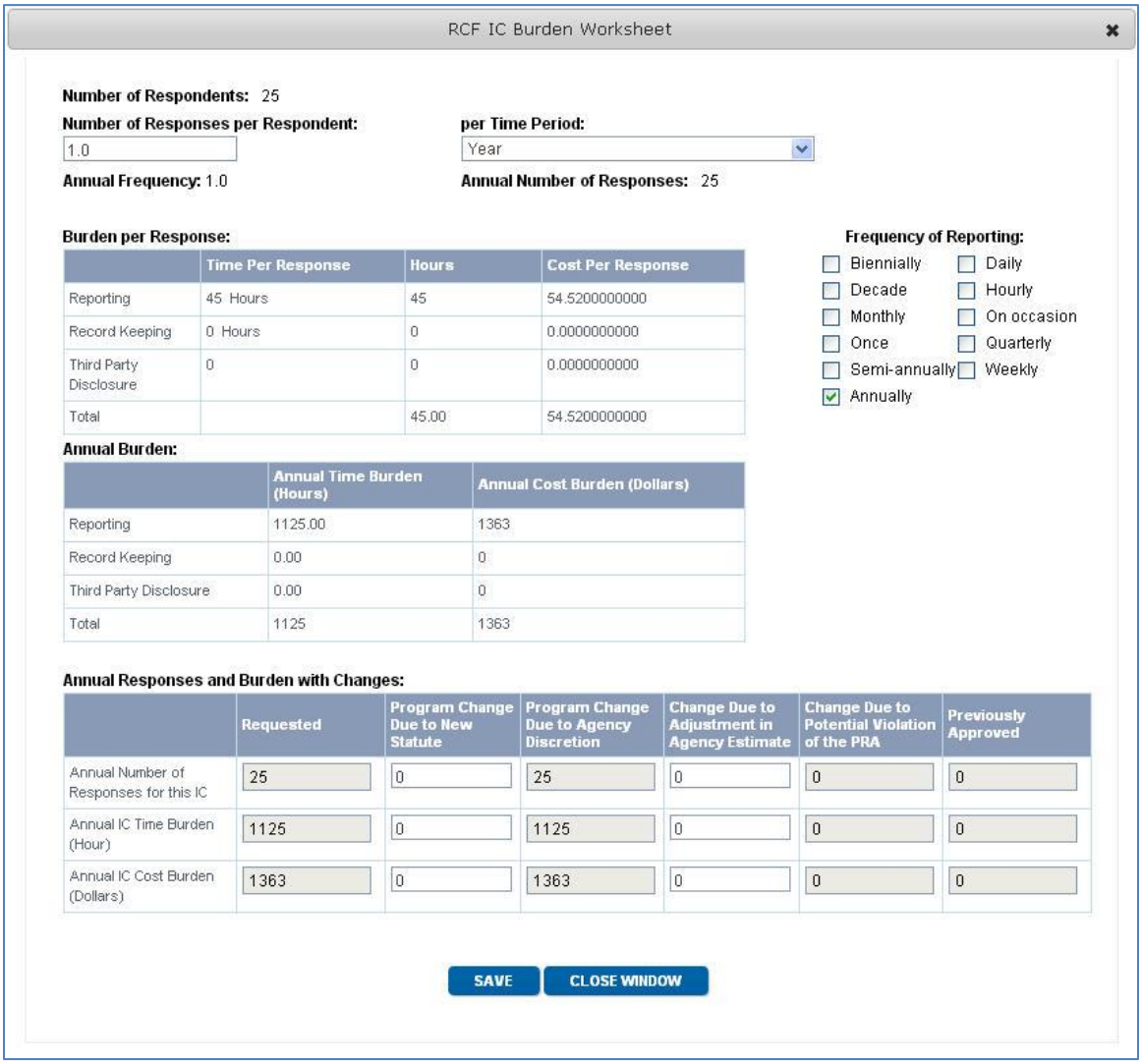
Program Change due to New Statute. "Program change" is the result of deliberate Federal government action. All new collections and any subsequent revision of existing collections (e.g., the addition or deletion of questions) are recorded as program changes. When 'Program Change due to New Statute' is selected at the IC level, you will be prompted to provide the statute citation on the Edit RCF screen.

Change Due to Adjustment in Agency Estimate. "Adjustment" is a change that is not the result of a deliberate Federal government action. Changes resulting from new estimates or action not controllable by the Federal government are recorded as adjustments.

When you are satisfied with the data on the burden worksheet, select the 'Save' button. After the data has been saved, close the window.

You will be returned to the 'Edit RCF IC' screen. You may now save the IC.

If you have additional ICs, repeat this process for each one. When you are done, return to the 'ICR' Data page to finish adding ICR data.



RCF IC Burden Worksheet

Number of Respondents: 25

Number of Responses per Respondent: 1.0

per Time Period: Year

Annual Frequency: 1.0

Annual Number of Responses: 25

Burden per Response:

	Time Per Response	Hours	Cost Per Response
Reporting	45 Hours	45	54.5200000000
Record Keeping	0 Hours	0	0.0000000000
Third Party Disclosure	0	0	0.0000000000
Total		45.00	54.5200000000

Frequency of Reporting:

- [ ] Biennially
- [ ] Daily
- [ ] Decade
- [ ] Hourly
- [ ] Monthly
- [ ] On occasion
- [ ] Once
- [ ] Quarterly
- [ ] Semi-annually
- [ ] Weekly
- [x] Annually

Annual Burden:

	Annual Time Burden (Hours)	Annual Cost Burden (Dollars)
Reporting	1125.00	1363
Record Keeping	0.00	0
Third Party Disclosure	0.00	0
Total	1125	1363

Annual Responses and Burden with Changes:

	Requested	Program Change Due to New Statute	Program Change Due to Agency Discretion	Change Due to Adjustment in Agency Estimate	Change Due to Potential Violation of the PRA	Previously Approved
Annual Number of Responses for this IC	25	0	25	0	0	0
Annual IC Time Burden (Hour)	1125	0	1125	0	0	0
Annual IC Cost Burden (Dollars)	1363	0	1363	0	0	0

SAVE CLOSE WINDOW

Figure 21.4: RCF IC Burden Worksheet

Burden Results of the RCF IC page(s) are summarized and displayed on the Edit RCF page. If changes in burden have occurred because the RCF is new or due to a revision with change, you will be prompted to answer questions related to the changes. This information will be used to draft the Information Collection Budget Report to Congress.

- Citations for New Statutory Requirements are required if summary change in burden is a Program Change Due to New Statute.

- When the summary indicates changes attributed to Program Change Due to Agency Discretion, select the Information Collection Budget chapter headings to which the increase or decrease is attributed from the drop down list offered.

- When there is a change in burden of any kind in the ICs, the system will prompt you to provide a short explanation.

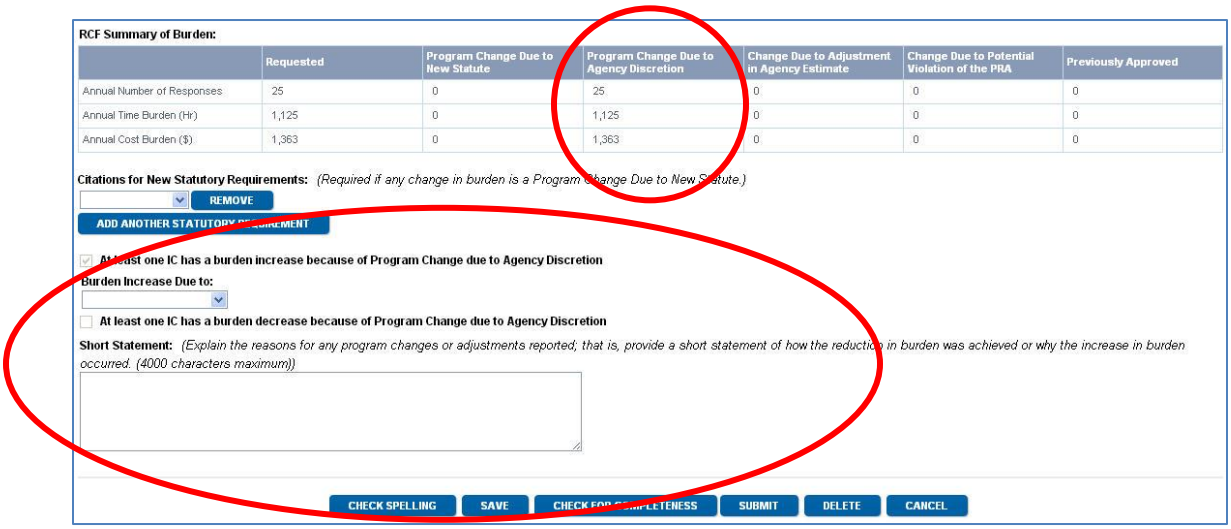


Figure 21.5: Edit RCF with Burden Change Details

When all relevant data has been entered, click the Submit button to submit the RCF for OIRA review.

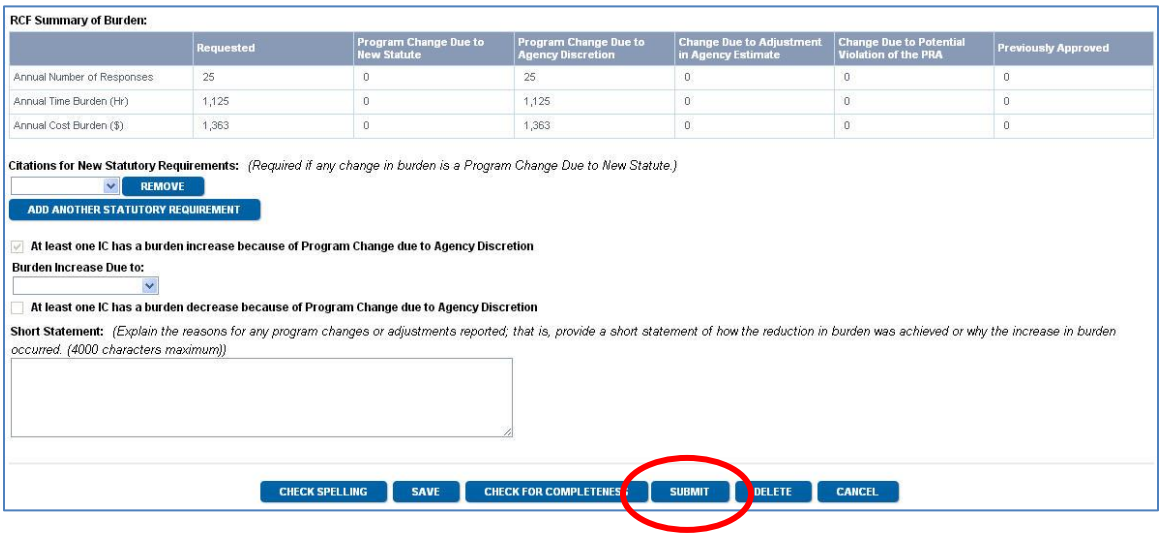


Figure 21.6: Edit RCF with Submit Button

22. UPDATING AN ACTIVE REQUEST FOR COMMON FORMS

In order to make a change to the usage of a common form, including the number of respondents, you must create a Non-Substantive Change for the RCF. Creating the Non-Substantive change RCF can be done in one of two ways. First, an RCF can be created by selecting Request for Common Forms (RCF) in the drop down at the Request tab in the navigation toolbar.

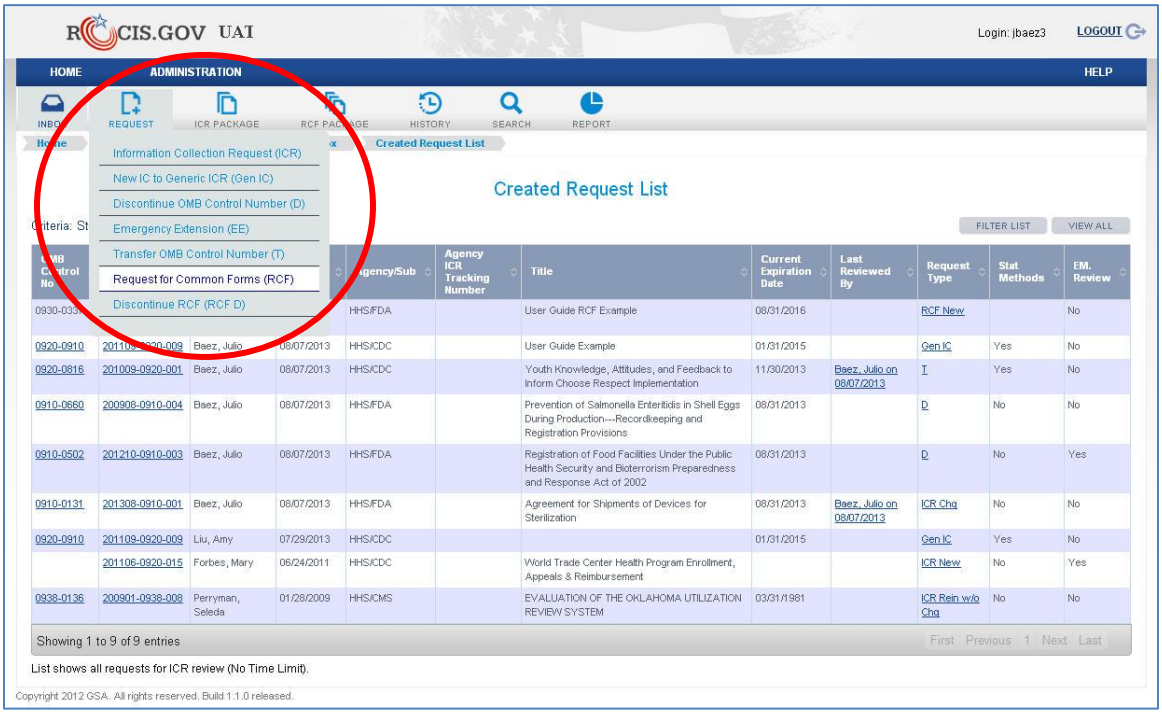


Figure 22.1: Toolbar Link to Create an RCF

Rather than selecting to create a new RCF, please select the Create a Non-Substantive Change to a Currently Active RCF radio button, enter the RCF ID of the Active RCF and click the Create button.

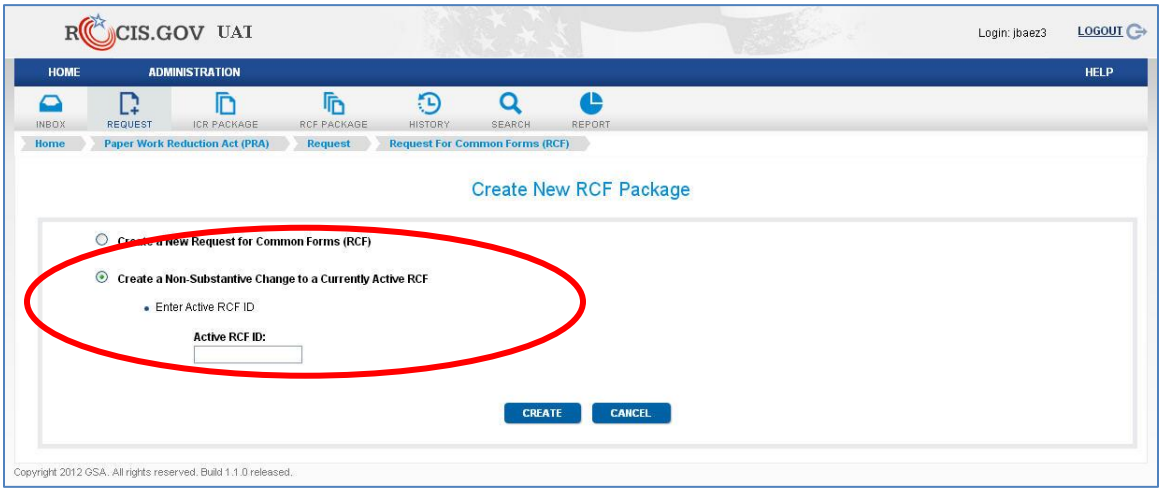


Figure 22.2: Create New RCF Package with Non-Substantive Change selected

You can also create a non-substantive change from the View RCF – OIRA Conclusion screen by clicking the Create Non-substantive Change (RCF) button.

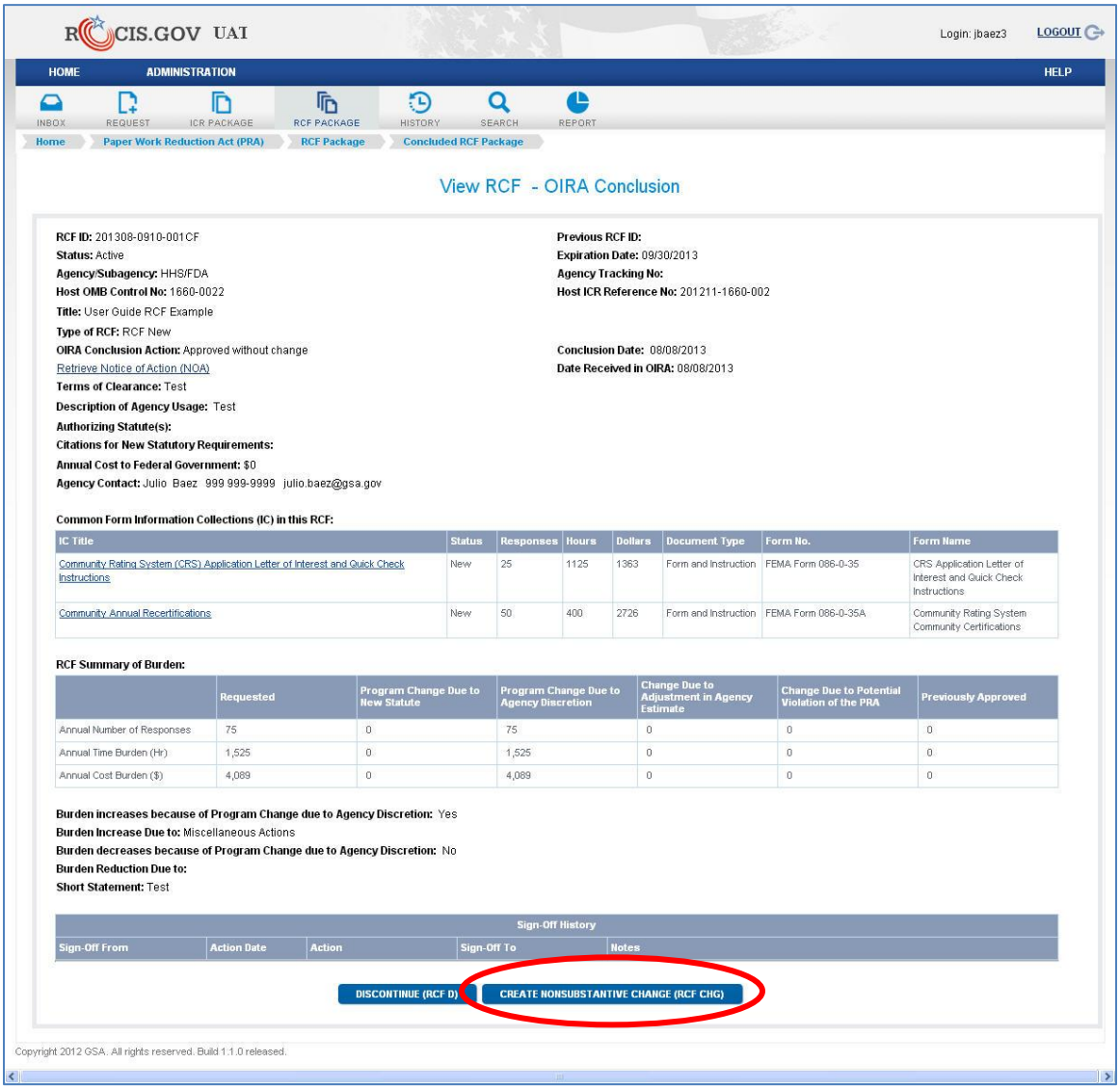


Figure 22.3: View ICR – OIRA Conclusion with Create Non-substantive Change (RCF Chg)

Once the Non-Substantive Change RCF has been created, the process for editing and submitting a non-substantive change to an RCF is the same as a new RCF. A Non-Substantive Change to a Currently Active RCF must go through the submission/review process before it takes effects.

23. Requesting to Discontinue a Request for Common Forms

When your agency no longer needs to use the common form(s) referenced in the RCF, you must discontinue the RCF by creating an RCF discontinue request in one of two ways. First, An RCF discontinue can be created by selecting Discontinue RCF in the drop down at the Request tab in the navigation toolbar.

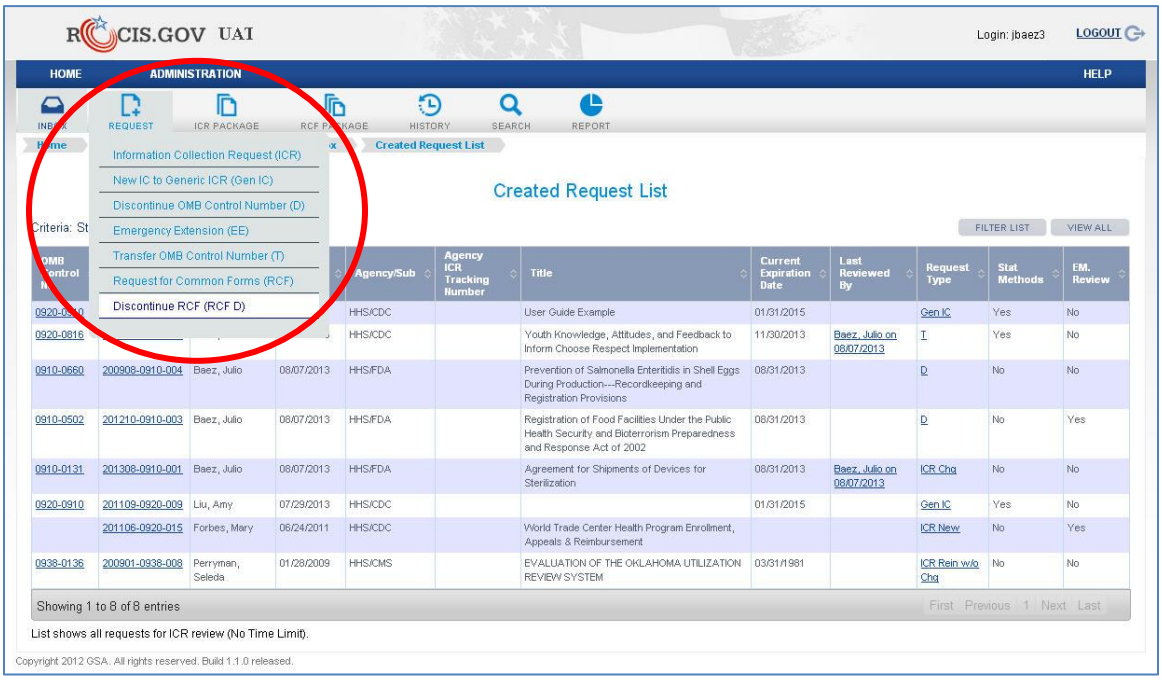


Figure 23.1: Toolbar Link to Create a Request to Discontinue an RCF

Using this method, you will be required to specify the RCF to discontinue, and then click Next.

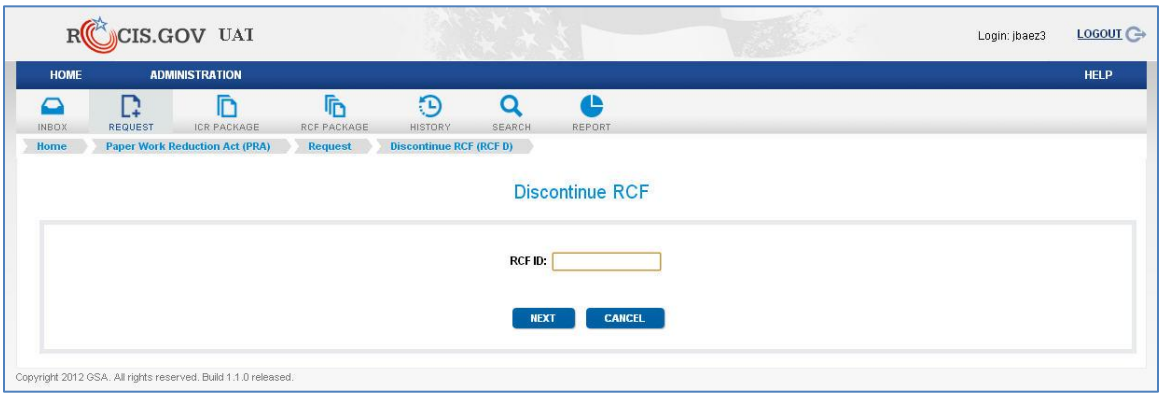


Figure 23.2: Identify the RCF to Discontinue

You can also create a discontinue request directly from the View RCF – OIRA Conclusion screen by clicking the Discontinue (RCF D) button.

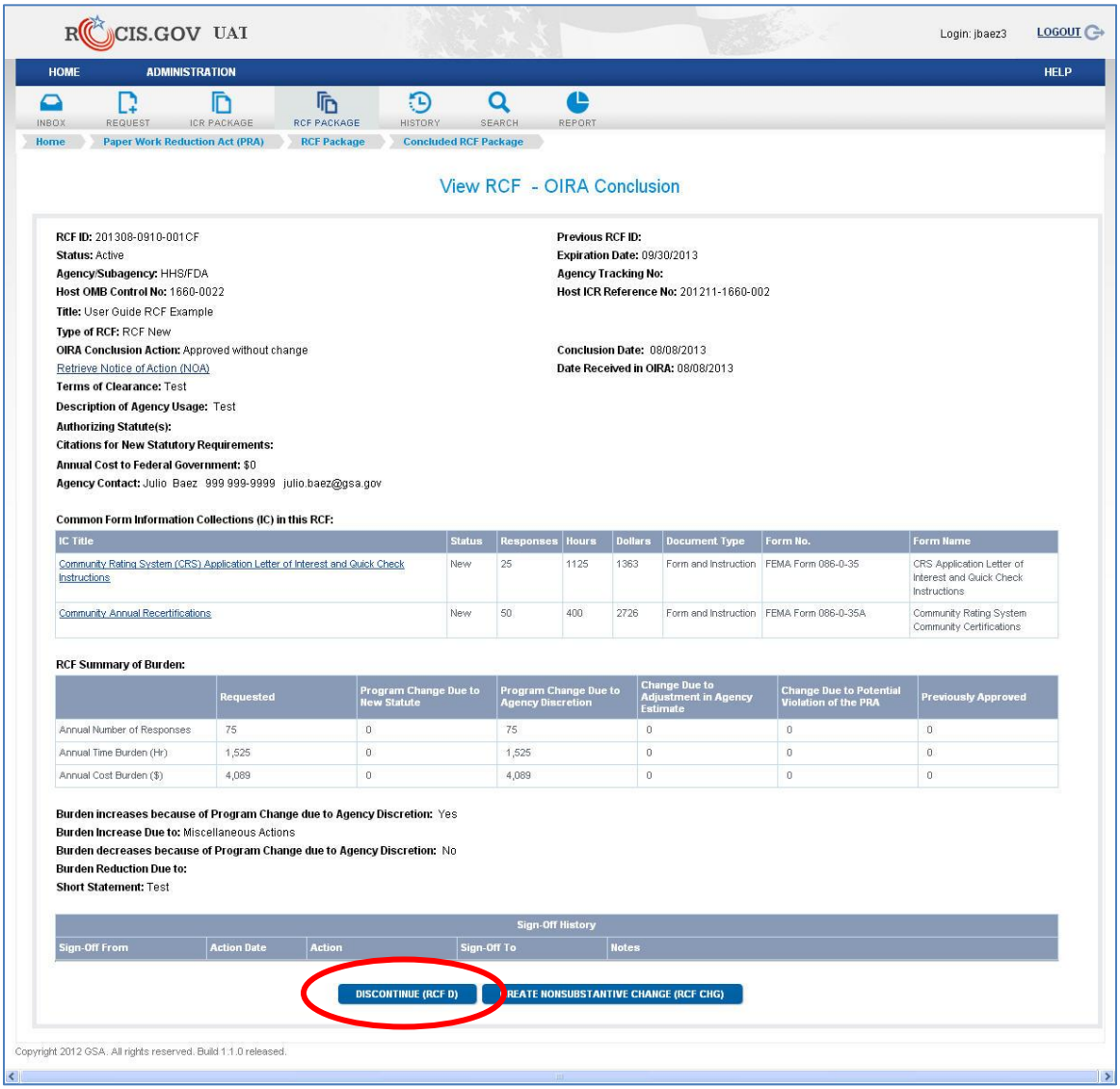


Figure 23.3: View RCF – OIRA Conclusion with Discontinue Button

Using either method to create an RCF Discontinue request, you will be taken to the Edit Request to Discontinue RCF page. Complete your justification for OMB and specify whether the program change is due to New Statue or Agency Discretion. If you select New Statute, you will be required to identify that statute or statutes. When complete, select Save or Submit. A saved request will be displayed in the Created Request List inbox, where you and other authorized agency users may return to edit the request. Your agency's authorized paperwork contact (APC) may submit the request. Unlike discontinue request for ICRs, RCF Discontinue request do not require OMB approval. Once your agency clicks the submit button, ROCIS will

immediately remove the RCF from your active inventory and the Discontinue request will appear in your Concluded Request List.

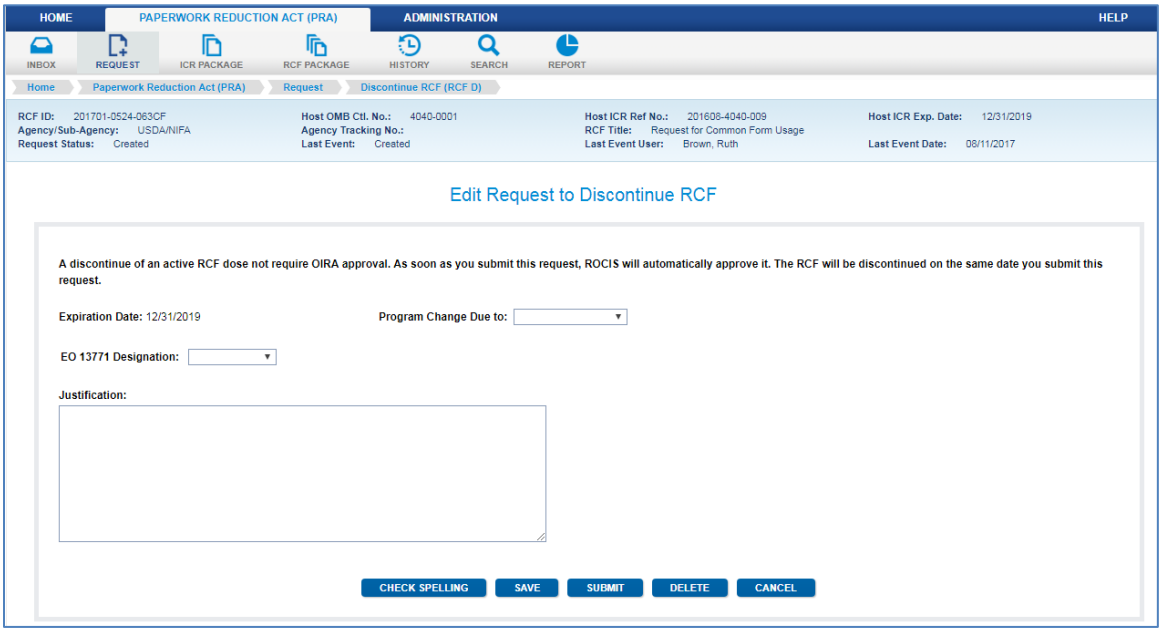


Figure 23.4: Edit Request to Discontinue RCF

24. REPORTS

ROCIS has a number of reports associated with the data collected under the PRA. An agency can access these reports by choosing the 'Reports' tab. Below is a list of the available reports.

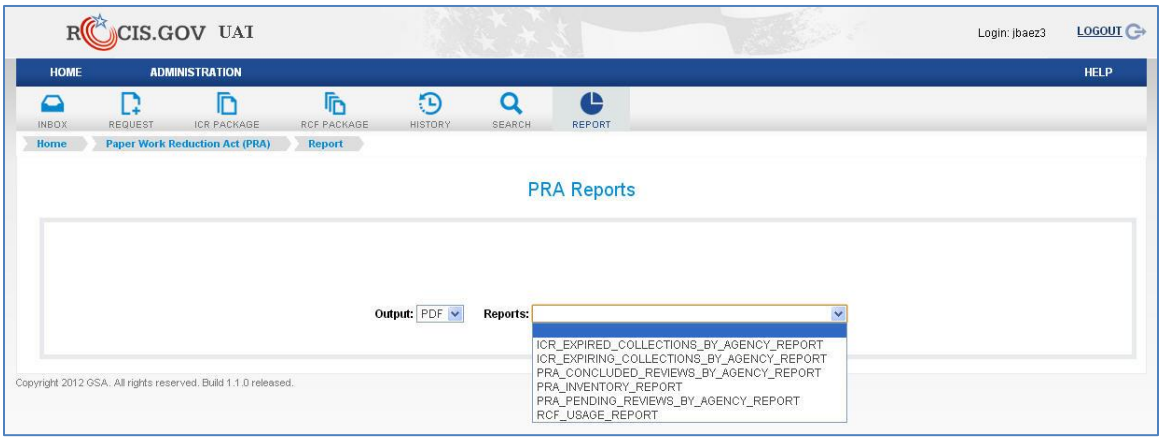


Figure 24.1: PRA Reports Screen

One extremely important report is the ICR Expiring Collections by Agency Report. This will show an agency which OMB control numbers will be expiring in the near term. To allow agencies to track any work already underway for renewals or extensions, the report will also reflect if a new submission has been created or submitted to OIRA for any particular OMB control number.

The report can be run either by entering a start and end month and year, or by simply taking the default (first) option of "Next 5 months." This will produce a PDF report of what will expire in the next five months. A Microsoft Excel editable spreadsheet can be generated instead by selecting CSV from the Output dropdown.

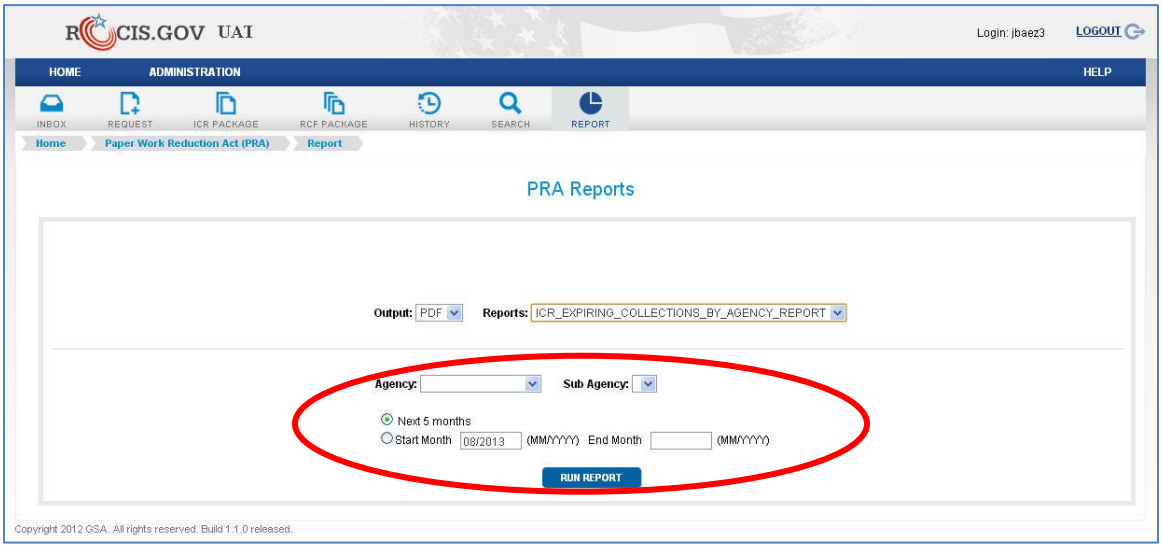


Figure 24.2: PRA Reports Screen with Expiring Collections Report Selected

Of note, there is a related report which details ICR packages that have expired called ICR Expired Collections by Agency Report.

25. REGINFO.GOV – THE ROCIS PUBLIC WEBSITE

The ROCIS public website is known as the Reginfo.gov website (www.reginfo.gov). All information about data collected under the PRA may be found there. In addition to allowing the public to access standard reports on ICR requests under review, those reviews recently concluded, and the active inventory, there is an advanced search feature that allows data mining on many different data items.

26. CREATING A SUPPORTING STATEMENT

General Instructions

A Supporting Statement, including the text of the notice to the public required by 5 CFR 1320.5(a)(i)(iv) and its actual or estimated date of publication in the Federal Register, must accompany each request for approval of a collection of information. The Supporting Statement must be prepared in the format described below, and must contain the information specified in Section A below. If an item is not applicable, provide a brief explanation. When the question "Does this ICR contain surveys, censuses or employ statistical methods" is checked "Yes", Section B of the Supporting Statement must be completed. OMB reserves the right to require the submission of additional information with respect to any request for approval.

Specific Instructions

A. Justification

1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information.

2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.

3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden.

4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in Item 2 above.

5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.

6. Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.

7. Explain any special circumstances that would cause an information collection to be conducted in a manner:
* requiring respondents to report information to the agency more often than quarterly;
* requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;
* requiring respondents to submit more than an original and two copies of any document;
* requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records, for more than three years;
* in connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study;
* requiring the use of a statistical data classification that has not been reviewed and approved by OMB;
* that includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; or
* requiring respondents to submit proprietary trade secrets, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.

8. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken by the agency in response to these comments. Specifically address comments received on cost and hour burden.
Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.
Consultation with representatives of those from whom information is to be obtained or those who must compile records should occur at least once every 3 years - even if the collection of information activity is the same as in prior periods. There may be circumstances that may preclude consultation in a specific situation. These circumstances should be explained.

9. Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.

10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.

11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why the agency considers the questions

necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.

12. Provide estimates of the hour burden of the collection of information. The statement should:
* Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample (fewer than 10) of potential respondents is desirable. If the hour burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated hour burden, and explain the reasons for the variance. Generally, estimates should not include burden hours for customary and usual business practices. * If this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens.
* Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead, this cost should be included under 'Annual Cost to Federal Government'.

13. Provide an estimate for the total annual cost burden to respondents or record keepers resulting from the collection of information. (Do not include the cost of any hour burden already reflected on the burden worksheet).
* The cost estimate should be split into two components: (a) a total capital and start-up cost component (annualized over its expected useful life) and (b) a total operation and maintenance and purchase of services component. The estimates should take into account costs associated with generating, maintaining, and disclosing or providing the information. Include descriptions of methods used to estimate major cost factors including system and technology acquisition, expected useful life of capital equipment, the discount rate(s), and the time period over which costs will be incurred. Capital and start-up costs include, among other items, preparations for collecting information such as purchasing computers and software; monitoring, sampling, drilling and testing equipment; and record storage facilities.
* If cost estimates are expected to vary widely, agencies should present ranges of cost burdens and explain the reasons for the variance. The cost of purchasing or contracting out information collections services should be a part of this cost burden estimate. In developing cost burden estimates, agencies may consult with a sample of respondents (fewer than 10), utilize the 60-day pre-OMB submission public comment process and use existing economic or regulatory impact analysis associated with the rulemaking containing the information collection, as appropriate.
* Generally, estimates should not include purchases of equipment or services, or portions thereof, made: (1) prior to October 1, 1995, (2) to achieve regulatory compliance with requirements not associated with the information collection, (3) for reasons other than to

provide information or keep records for the government, or (4) as part of customary and usual business or private practices.

14. Provide estimates of annualized costs to the Federal government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without this collection of information.

Agencies may also aggregate cost estimates from Items 12, 13, and 14 in a single table.

15. Explain the reasons for any program changes or adjustments reported on the burden worksheet.

16. For collections of information whose results will be published, outline plans for tabulation and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.

17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.

18. Explain each exception to the topics of the certification statement identified in "Certification for Paperwork Reduction Act Submissions,"

B. Collections of Information Employing Statistical Methods

The agency should be prepared to justify its decision not to use statistical methods in any case where such methods might reduce burden or improve accuracy of results. When the question "Does this ICR contain surveys, censuses or employ statistical methods" is checked, "Yes," the following documentation should be included in the Supporting Statement to the extent that it applies to the methods proposed:

1. Describe (including a numerical estimate) the potential respondent universe and any sampling or other respondent selection methods to be used. Data on the number of entities (e.g., establishments, State and local government units, households, or persons) in the universe covered by the collection and in the corresponding sample are to be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. Indicate expected response rates for the collection as a whole. If the collection had been conducted previously, include the actual response rate achieved during the last collection.

2. Describe the procedures for the collection of information including:
* Statistical methodology for stratification and sample selection,
* Estimation procedure,

* Degree of accuracy needed for the purpose described in the justification,
* Unusual problems requiring specialized sampling procedures, and
* Any use of periodic (less frequent than annual) data collection cycles to reduce burden.

3. Describe methods to maximize response rates and to deal with issues of non-response. The accuracy and reliability of information collected must be shown to be adequate for intended uses. For collections based on sampling, a special justification must be provided for any collection that will not yield "reliable" data that can be generalized to the universe studied.

4. Describe any tests of procedures or methods to be undertaken. Testing is encouraged as an effective means of refining collections of information to minimize burden and improve utility. Tests must be approved if they call for answers to identical questions from 10 or more respondents. A proposed test or set of test may be submitted for approval separately or in combination with the main collection of information.

5. Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.

OIRA has produced a number of documents that may serve as useful reference material for completing Supporting Statement B. These can be found at the OMB Statistical Programs & Standards web page.

APPENDIX A: INFORMATION COLLECTION REQUESTS AND INFORMATION COLLECTIONS – QUESTIONS AND ANSWERS

The Office of Information and Regulatory Affairs is introducing a new paperless system for processing PRA information collection requests. The new system will be a module – the Information Collection Request (ICR) Module – within the ROCIS system. The ROCIS system is a joint OMB/GSA system currently used by all federal agencies for the Regulatory Agenda and Regulatory Review.

The new system will allow agencies to submit their Information Collection Requests as well as requests for change, discontinuation, transfer, and emergency extension through screen entry. As part of this new system, we are requiring more uniform and detailed information on burden and on compliance with the Privacy Act and Administration initiatives related to E-Gov. Agencies currently supply much of this information in the supporting statements accompanying their Information Collection Requests, but there is no mechanism for compiling and aggregating the information across the Federal Government.

To obtain this information, we have created the IC, or information collection, a sub-unit of the Information Collection Request (ICR). With the new system, agencies will continue to submit their Information Collection Requests to OMB with their supporting statements, but we will require them to report information on burden (currently aggregated in the 83-I) in a more disaggregated manner by organizing the components of their information collection into ICs.

To assist agencies in the transition to the new system, we have developed the following series of Questions and Answers to address issues that might arise as they determine the number and content of the ICs that will be included in their information collection requests. For questions on specific information collections, we encourage you to contact the appropriate OIRA desk officer.

Questions and Answers

1. What is an IC?

An IC is a set of information collected by an agency that is associated with a given affected public, obligation to respond, and line of business. The set of information may be defined by the instrument (e.g., a form), an activity (e.g., loans, filing taxes), or any other logical grouping determined by the agency that will provide explicit burden estimates by affected public, obligation to respond, and line of business.

"Affected public" means individuals, the private sector, and state and local governments. The "obligation to respond" is either mandatory, required to obtain benefits, or voluntary. The "line of business" refers to the federal government's lines of business in services to citizens and management of governmental resources affecting citizens as defined by the

Federal Enterprise Architecture Business Reference Model. (For more information see the Business Reference Model).

An "instrument" is the mechanism for gathering the information. The most obvious and easily identified type of instrument is a paper form or a survey, but it may be a web-based application, a telephone script, or any other means you use to gather information.

2. Why is OMB requiring that information collection requests (ICRs) be divided into information collections (ICs)?

Under the current system, aggregate statistics on paperwork burden provide limited information, particularly at the ICR level. The IC concept has been developed in order to provide more informative statistics about the information collection burden of the Federal government. For example, the new ROCIS paperwork module will facilitate a more accurate accounting of paperwork burden by affected public and by reporting, recordkeeping, or third-party disclosures. In addition, the new system will allow a more accurate accounting of burden imposed on small entities, and for burden imposed by a new statute. In addition, collecting data at the IC level will facilitate the creation on an online catalog of forms and other instruments for forms.gov.

3. What will OIRA do with the IC-level data?

With the IC level data, OMB will be able to obtain a detailed accounting of the burden imposed by the Federal Government with respect to:

- the affected public;
- the affected line of business;
- the obligation to respond (mandatory, voluntary, required to determine benefits);
- the type of collection (reporting, recordkeeping, or third-party disclosures); and
- small entities.

Such information will help answer questions frequently posed by Congress, and it will allow a more focused evaluation of paperwork burden for those interested in burden reduction. The IC and accompanying form and related instruments, such as instructions, are also a fundamental building block in establishing a catalog of forms for forms.gov, part of the Business Gateway E-gov initiative.

4. How do I break an ICR into ICs?

There are three components which must be considered when breaking an ICR into ICs:

- the affected public;
- the obligation for respondents to respond; and
- the line of business.

The ROCIS ICR Module is set up such that a single ICR can have multiple ICs. Each of the ICs can have different affected publics, lines of business, or obligations to respond. However, any single IC can have only one line of business, one obligation to respond, and one affected public to be selected for each IC. These are system constraints.

Generally speaking, we recommend that each form or collection instrument have a separate IC but the system will allow for multiple forms within an IC. (see Q.6 for more information).

When breaking an ICR into ICs, you should consider these three components which will determine the minimum number of ICs within a collection. [See Attachment A for a detailed example of how one might determine the minimum number of ICs and Attachment B for case studies of existing ICRs.] Beyond the constraints in the ROCIS module for affected public, obligation to respond, and line of business, an agency has the flexibility to determine how many ICs will be created.

5. How many ICs should each ICR have?

The number of ICs required in each ICR depends on the nature of the collection and the agency's preferences for organizing the collection. We encourage agencies to organize their ICs in a manner that provides a meaningful and easily understandable summary of the burden estimates associated with an ICR.

There is no limit on the number of ICs, but there is a minimum number that the agency must provide. The minimum number of ICs can be found by determining whether the ICR:

- affects more than one segment of the affected public;
- affects more than one line of business;
- contains more than one type of obligation to respond.

If any of these conditions is true, the agency will have to create multiple ICs. See Attachment A for a detailed example of how one might determine the minimum number of ICs.

a. Can one ICR only have one corresponding IC?

Yes, but only in those cases when the ICR involves just one line of business (e.g., health), one category of affected public (e.g., individuals), one type of response obligation (e.g., voluntary).

b. I have an ICR that has reporting, recordkeeping, and third party disclosures. Am I required to provide a separate IC for each type of burden?

No, you have the flexibility to determine how many ICs are appropriate. We encourage you to consider organizing them in a manner that provides a meaningful and easily understandable summary of the burden estimate, but there are no system constraints on grouping them into one IC.

You will be required, however, to provide separate estimates of the burden associated with each type of burden (reporting, recordkeeping, and third party disclosures) within the IC.

c. I have an ICR that has different reporting frequencies (e.g., biennially, monthly, on occasion). Am I required to provide a separate IC for each frequency?

No, you have the flexibility to determine how many ICs are appropriate. We encourage you to consider organizing them in a manner that provides a meaningful and easily understandable summary of the burden estimate, but there are no system constraints on grouping them into one IC.

d. I have a letter that accompanies a form/ survey. Should this be a separate IC?

No. A letter can be considered supporting documentation for an IC and, therefore, should be submitted as part of the same IC as the form/ survey. However, if the letter is supporting documentation for the ICR (not just the IC), it should be submitted in the supporting documents section for the entire ICR.

e. I have an ICR that accompanies a proposed/final rule. Should each of the information collection requirement associated with the rule be its own IC?

Not necessarily. You need to determine whether the rule affects more than one line of business, has more than one type of obligation to respond, and/or affects more than one segment of the public. This, in turn, will determine the minimum number of ICs associated with the rule. We also encourage you to consider how the information collection requirements contained in the rule might be organized into ICs to provide the most meaningful information to the public. Depending on the ICR, this could mean that you have numerous ICs or just one IC. See Attachments A and B for information on determining the minimum number of ICs for a collection and for case studies.

f. How do I determine the "line of business" for an IC?

The "line of business" refers to the federal government's lines of business in services to citizens and management of governmental resources affecting citizens as defined by the Federal Enterprise Architecture Business Reference Model. If an information collection is associated with an IT investment, the "line of business" for the information collection must be the "line of business" reported by your CIO to OMB for the IT system. If the IC

doesn't relate to an IT investment (e.g., a third party disclosure), the "line of business" should reflect the functional purpose of the IC.

g. I have an IC that could reasonably be categorized under two different lines of business. How do I decide which line of business to choose?

If the IC is associated with an IT investment, you must categorize the IC the same way the IT investments has been categorized by your CIO. If the information is not associated with an existing IT investment, please consult the individuals responsible for IT investments within your agency and your desk officer. Together, you should be able to decide which line of business is the most appropriate classification for the IC.

h. I have an ICR that consists of regulatory reporting requirements, but no forms. Do I need a separate IC for each provision in the Code of Federal Regulations (CFR)?

No. If the reporting requirements affect one line of business, one category of affected public, and one type of response obligation, one IC can be used. If this is not the case, you must, at the very least, provide separate ICs for each affected public, line of business, and response obligation. (See Attachment A).

6. Is there a maximum on the number of ICs that can be part of an ICR?

No, you have the flexibility to determine how many ICs are appropriate. We encourage you to consider organizing your ICRs in a manner that provides a meaningful and easily understandable summary of the information collection to the public, but there are no system constraints on the number of ICs. Please consult your desk officer.

7. Are there specific requirements for forms?

In general, we recommend that the agency consider having one IC for each form. The system was designed with this capability and we believe such an approach will provide a meaningful and easily understood estimate of the burden associated with the form. However, the system will allow multiple forms within an IC and there are reasons why this might be a useful approach. For example, if a form is published in multiple languages or if a form has both a paper version and a web version, it may be more practical to include them in the same IC, but list each form as a separate instrument within the IC.

a. Is an ICR that consists of a single form always equal to one IC?

Not always. It can be one IC only if there is one line of business, one category of affected public, and one type of response obligation.

b. I have two forms related to the same reporting requirements. Is that one IC or two?

Two or more forms can be part of the same IC if the line of business, the affected public and the type of response are ALL identical across the forms. In such cases, the agency has the flexibility to select one or more ICs, depending on the agency preference. For example, if the forms are to be submitted with different frequencies (i.e., one is submitted annually, the other is submitted bi-annually) but request the same information, an agency could choose to divide the ICR into one IC (i.e., both forms) or two ICs (i.e., one for each form) based on its preferences.

7. **I have an ICR that contains multiple ICs, but I do not have the necessary information to determine what proportion of respondents fit into the various affected public categories, and what number are small businesses. What level of precision/effort is expected of me to obtain this information?**

   You should do your best to make accurate and reasonable estimates of the burden for each IC and the burden imposed on small entities. In the case of extensions to existing approvals, we believe past experience with a collection can provide a reasonable guide for estimating the burden for the various affected public categories. With new collections, we expect that agencies will exercise due diligence in providing their best estimate and soliciting input on potential affected parties.

8. **Will I have to provide information about the IC level data in the Federal Register notices required by the PRA?**

   The regulatory requirements for Federal Register notices have not been changed. You may provide information at the IC level if you believe it would be informative, but this type of information will not be required.

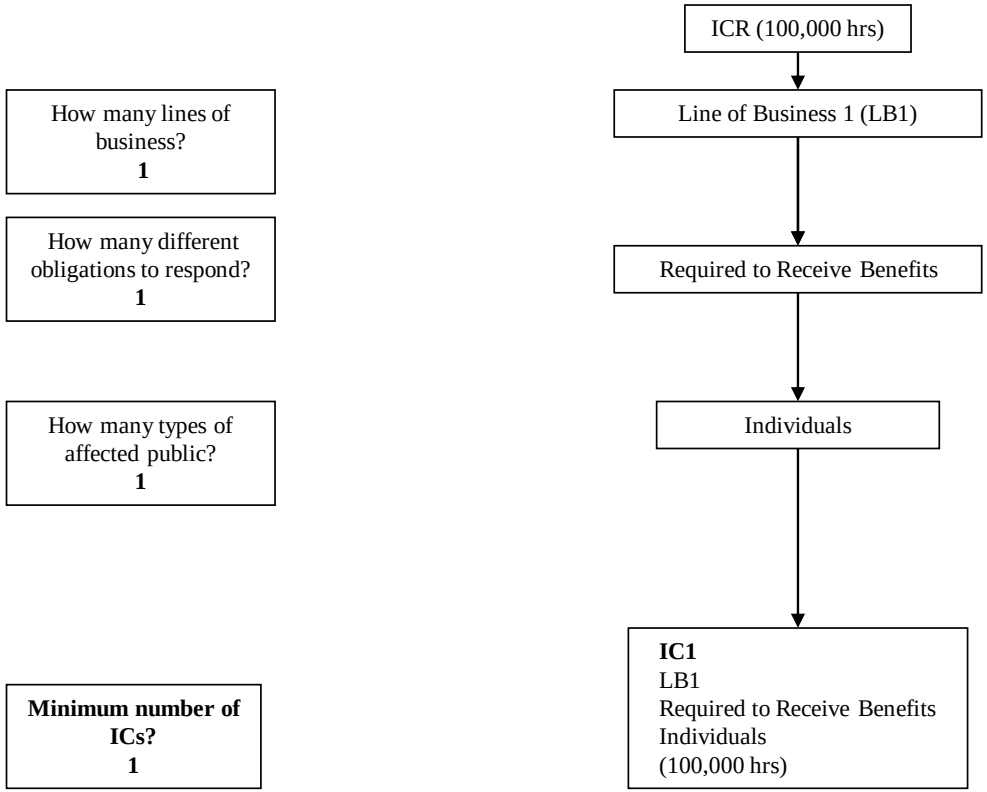
9. **How do I get answers to questions that might arise as my agency tries to divide an ICR into ICs?**

   Contact the appropriate OMB/OIRA desk officer.

Attachment A

Determining the Minimum Number of ICs

Example 1: The collection under consideration gathers information from individuals. There are three forms. Individuals must submit these forms in order to receive benefits from the Federal Government.. The information gathered can be classified under a single line of business. The total burden for the ICR is 100,000 hours;

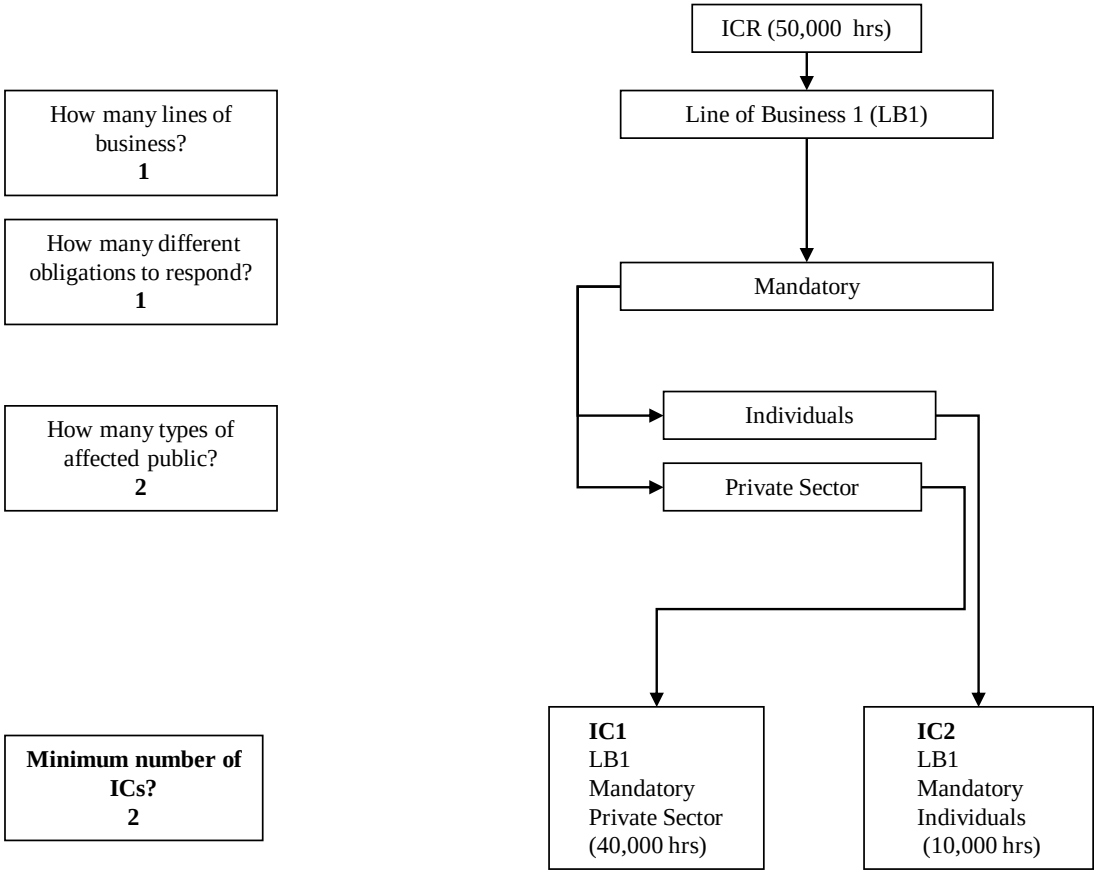


Note: An estimate of overall ICR burden will not have to be entered. The ROCIS system will sum the burden entered for the ICs to obtain the overall ICR-level burden estimate.

Attachment A

Determining the Minimum Number of ICs

Example 2: The collection under consideration gathers information from individuals and the private sector (businesses), There are two mandatory reporting requirements (one is a form; the other is specified in regulation). The information gathered can be classified under a single line of business. The total burden for the ICR is 50,000 hours: 40,000 hours are imposed on the private sector; 10,000 hours are imposed on individuals.

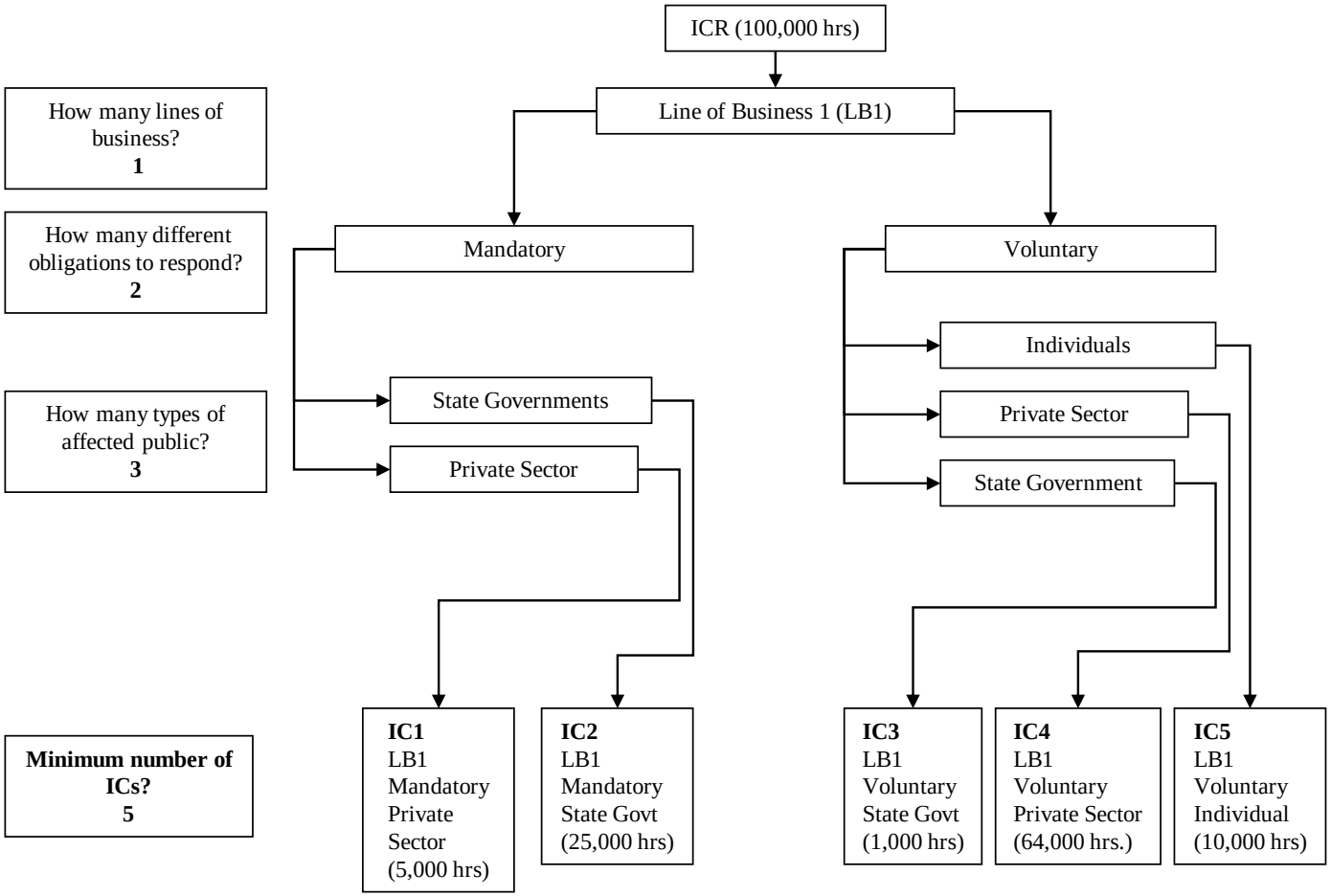


Note: An estimate of overall ICR burden will not have to be entered. The ROCIS system will sum the burden entered for the ICs to obtain the overall ICR-level burden estimate.

Attachment A

Determining the Minimum Number of ICs

Example 3: The collection under consideration gathers information from individuals, the private sector (businesses and non-profits), and state governments. There are two forms, one is voluntary; one is mandatory. The information gathered can be classified under a single line of business. The total burden for the ICR is 100,000 hours; 30,000 hours are mandatory;70,000 hours are voluntary

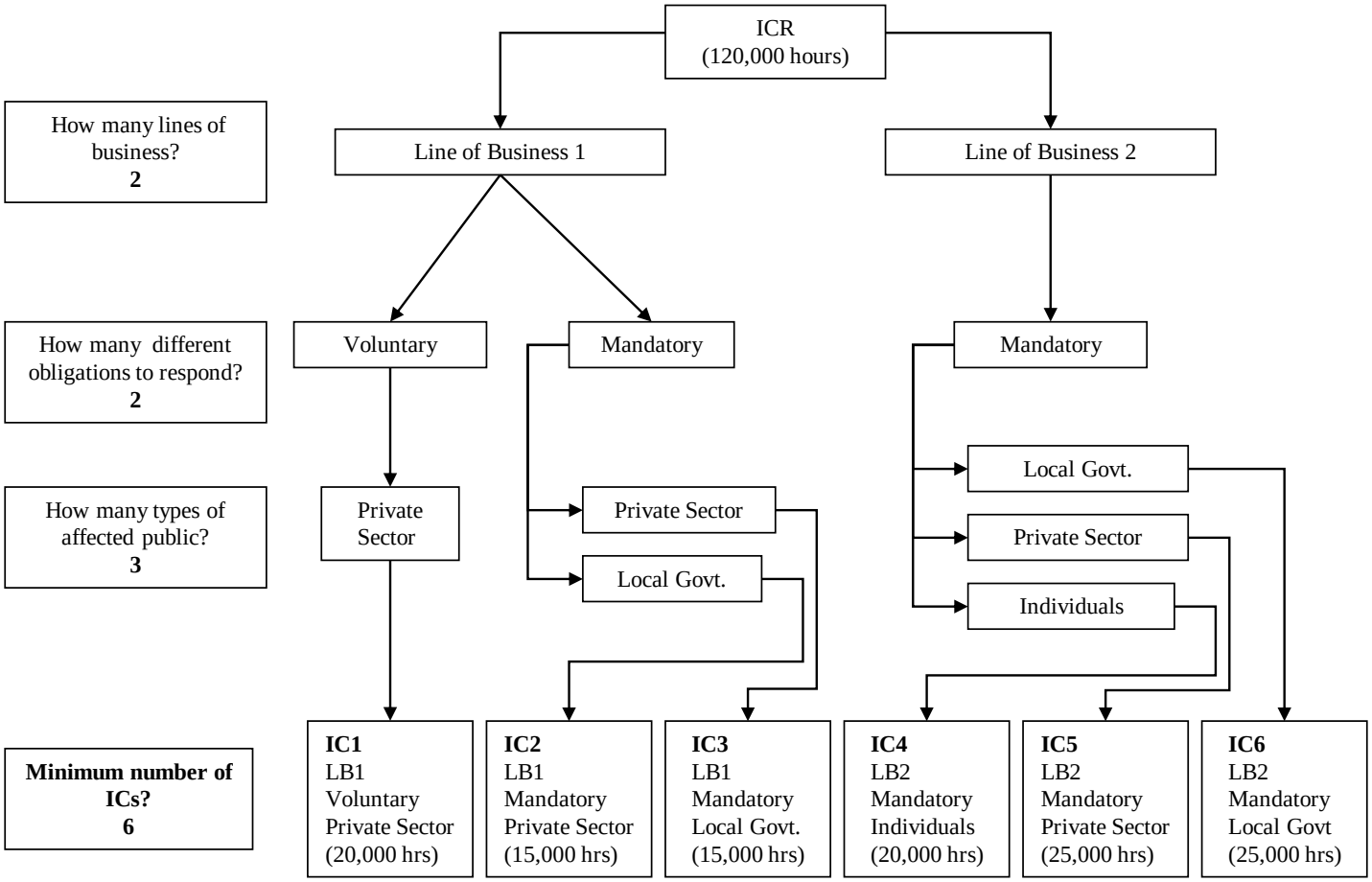


Note: An estimate of overall ICR burden will not have to be entered. The ROCIS system will sum the burden entered for the ICs to obtain the overall ICR-level burden estimate.

Attachment A

Determining the Minimum Number of ICs

Example 4: The collection under consideration gathers information from individuals, the private sector (businesses), and local governments. There are two forms: Form 1 is voluntary for small businesses, but mandatory for others; Form two is mandatory for all respondents. The information gathered for Form 1 and form 2 are classified under separate lines of business. The burden for the ICR is 120,000 hours.



Attachment B

Case Studies of ICRs

Case Study 1:

Title: Underground Storage Tanks: Technical and Financial Requirements, and State Program Approval Procedures. (OMB# 2050-0068)

Description:

This ICR covers information collections associated with EPA's regulations for underground storage tanks. There are two sets of regulatory requirements in the Code of Federal Regulations (CFR): one set covers state governments, and one set covers businesses that operate underground storage tanks. In the currently approved ICR, the agency has provided exhibits (i.e., Exhibits I and II) that organized their regulations and the associated burden into 12 categories that correspond to subparts of the CFR (4 for state requirements and 8 for the business requirements.)

Analysis:

The first step in determining the ICs associated with this ICR involves determining the number of unique combinations of the affected public, reporting obligation, and the line of business. For this particular ICR, all reporting requirements are mandatory and they can all be categorized within the same line of business (environmental management). There are, however, two different segments of the affected public: state government and businesses.

Using the most recent supporting statement for this ICR, the agency could choose to divide the ICR into ICs in several different ways. At a minimum the ICR would have to contain 2 ICs, but it could be divided into 12 ICs, or perhaps more. To divide the IC into two ICRs, the agency would divide the ICR into: 1) information required from states and 2) information required from businesses. To divide this ICR into 12 ICs, the agency could use the information in Exhibits I and II of the supporting statement and create an IC for each subcategory of the CFR in these exhibits. In addition, the agency could choose to divide the ICR into more than 12 ICs to correspond to more specific portions of the CFR.

Attachment B

Case Study 2:

Title: Permanent Program Performance Standards – Surface and Underground Mining Activities (OMB#: 1029-0007)

Description:

The ICR covers regulations implementing environmental performance standards for Surface Mining Activities [30 CFR 816] and Underground Mining Activities [30 CFR 817]. It includes an application, ongoing reporting and sampling of sites, permit/waivers, and third party disclosure requirements. There are no forms associated with the collection.

In the most recent supporting statement the agency provides a breakdown of burden estimates by CFR provision; but, because part 816 and 817 contain 15 provisions with essentially the same type of requirements, the agency provides combined burden estimates for the relevant provisions in both parts. For example, 30 CFR 816.43 and 817.43 both require permits for stream channel diversion and preparation of a certified report following construction. Rather than providing an estimate for surface mining and one for underground mining, the agency provides a single estimate of burden for both provisions. In addition to the 15 dual provisions, there are two provisions that apply only to underground mining in this collection.

Analysis

The first step in determining the ICs associated with this ICR involves determining the number of unique combinations of the affected public, reporting obligation, and the line of business. For this particular ICR, the requirements are mandatory and they can all be categorized within the same line of business (environmental management). There are, however, two different segments of the affected public: state/local/tribal government and businesses. In the current supporting statement, the agency provides a break-out of the burden for each group.

Using the most recent supporting statement for this ICR, the agency could choose to divide the ICR into ICs in several different ways. At a minimum the ICR would have to contain 2 ICs, but it could be divided into 18 ICs, or more. To divide the ICR into two ICs, the agency would divide the ICR by the: 1) information required from states and 2) information required from businesses. To divide this ICR into 18 ICs, the agency could use the information in the supporting statement that breaks out burden by CFR provisions: 14 of the ICs would cover dual provisions that apply only to businesses; 2 of the ICs would cover the provisions that apply only to underground mining; and one of the dual provisions would have two ICs (one for burden on states/local, one for burden on businesses). Finally, the agency could choose to divide the ICR into more than 18 ICs to correspond to more specific portions of the CFR.

APPENDIX B: COMMON FORMS – QUESTIONS AND ANSWERS

1. What is a common form?

With the rollout of ROCIS's Common Forms Module, OIRA introduced a new term: the "common form." A "common form" is an information collection that can be used by two or more agencies, or government-wide, for the same purpose. The Common Forms Module allows a "host" agency to obtain Office of Management and Budget approval of an information collection for use by one or more "using" agencies. After OMB grants approval, any prospective using agency that seeks to collect identical information for the same purpose can obtain approval to use the "common form" by providing its agency-specific information to OMB (e.g., burden estimates and number of respondents).

2. Is there a difference between a standard form and a common form?

Yes. A "standard form," as currently defined, is a type of common form but its use by all agencies is required. For example, the Office of Personnel Management requires that the Standard Form (SF)-86, "Questionnaire for National Security Positions," be used for all agencies who are hiring personnel for national security positions. A standard form is thus a common form, but not necessarily vice versa. The Common Forms Module encompasses both standard and other common forms. Going forward, OIRA will refer to all forms for this new module— including standard forms—as "common forms."

3. Why is this module or process necessary?

We created the Common Forms Module to encourage agencies to seek common data solutions, increase efficiency, and better account for the burden imposed on the public by Federal agencies. Prior to the implementation of the Common Forms Module, a host agency was unable to disaggregate the reporting burden imposed through its use of a common form from the burden imposed by other agencies' use of the common form. For example, Grants.gov owned the SF-424 series (grant-related application common forms), which meant that the Department of Health and Human Services (the host agency for Grants.gov) was required to include in its burden inventory the entire burden imposed by all grant-making agencies that used the SF-424 forms. Although this process was simple for the using agencies, it posed several problems. First, a host agency became responsible for burden that was not within its control. This discouraged agencies from adopting common formats for information collections and created inefficiencies and redundancies in both the approval process and the information collections. Second, the process for estimating use of the forms and calculating burden was not always consistent across agencies. This led to potential underreporting of burden and weak accountability regarding the approved use of these forms.

4. **What process do agencies follow to obtain OMB approval to convert existing common forms or create new common forms using the module?**

   A host agency will follow the procedural requirements of the Paperwork Reduction Act (PRA) and OMB's PRA regulations (See 5 CFR Part 1320). These requirements include publishing notices in the Federal Register for public comment and submitting information collection requests (ICRs) to OMB to obtain approval of a common form. The host agency will indicate in the Federal Register notices that it is requesting approval of a common form and, if known, identify other agencies that may use the information collection. Both the Federal Register notices and the ICR should account only for the burden imposed by the host agency's use of the common form. Once the host agency has received approval from OMB, any agency will be able to request OMB approval for its use of the common form in ROCIS by providing its agency specific information to OMB (e.g., burden estimates and number of respondents). Additional public notice by those agencies will not be required.

5. **What are the responsibilities of the host agencies to inform using agencies that they are converting forms, using the new module?**

   In order to facilitate this new process, after consulting with OIRA, host agencies will notify other agencies that a common form has been converted. In addition, we will be sending emails through the Chief Information Officer Council to inform agencies of the new Common Forms Module requirements and provide banner notification alerts via ROCIS to remind agencies that this new module exists.

6. **When should agencies start using this module?**

   The Common Forms Module is operational and an agency may request approval now. We encourage agencies, as appropriate, to use the Common Forms Module to convert existing forms into "common forms" as soon as possible. Existing forms that have already been PRA-approved, however, will not be required to be converted to "common forms" through this new module before their current three-year approval expires.

7. **Does a prospective host agency need to know whether a common form will be used by other agencies before it requests OMB's approval of the common form?**

   No. However, agencies should consider whether the information they plan to collect might be information that other agencies might also collect, or whether other agencies have used their forms in the past. We encourage agencies to consult with each other to identify common sets of information to be collected and coordinate their requests for OMB approval. We also encourage agencies that use other agencies' forms to contact those agencies and suggest that a common form approach be used.

8. **Can the Common Forms Module approach be used for common forms hosted and used by components within the same agency?**

   If an agency has OMB Control Numbers with distinct four-digit prefixes for individual components within the agency, it will be possible to use this approach. The host agency could be any of the components and the "users" would be any other sub-agency component with a distinct four-digit prefix. For example, USDA might request approval using this approach under a departmental office (control number OMB 0505-xxxx). As explained above, the "host" would only request approval for the burden imposed by their collection. Once approved, any other component within USDA with an OMB Control Number prefix (e.g., APHIS 0579, GIPSA 0580), could obtain approval from OMB by providing component-specific information. Additional public notice would not be required.

9. **If a host agency includes a number of forms in their request, is it possible for a using agency to request approval for only one of the forms?**

   Yes. If the host agency has identified the forms as separate Information Collections (IC) within its request, a using agency will be able to request approval of its use of a specific IC.

10. **Can a using agency obtain approval if the information will be collected with a different instrument (e.g., the host agency requests approval for a web application, but the using agency develops a different web application)?**

    Yes, but only if the host agency included the different instruments as separate ICs as part of their common form approval. A using agency can then request approval for the specific IC instrument applicable for them. Therefore it would not be permitted for a using agency to collect information via paper format if the host agency only requested to collect the information electronically since the burden of those instruments will vary.

11. **To what extent may a using agency change the information collected with a host agency's approved common form?**

    The only changes that a using agency can make to an approved common form are those that are necessary to identify the using agency on the instrument itself and in the instructions. For example, to use the Department of Veterans Affairs (VA) Form 4939, a using agency would need to replace references to the host agency (in this case, VA) with references to the using agency throughout the form. In addition, the using agency is allowed to make necessary text modifications in the instructions, so respondents know to send information back to their specific agency.

12. **To what extent may a using agency change the purpose for which a host agency's approved common form is used?**

If the using agency's purpose for the information collection is different from the purpose identified by the host agency, the using agency cannot use the common form. To use a common form for a different purpose, the using agency would be required, pursuant to the PRA and OMB's PRA regulations, to allow for public notice and comment and obtain OMB approval. OMB's review would consider the using agency's proposed use of the information within the context of the agency's stated purpose.

APPENDIX C: PRA AGENCY ROLES

There are four roles within ROCIS that are specifically associated with the agency portion of the PRA module:

Paperwork Data Entry Contact (PDEC) – This individual can create and update any type of PRA-related request. To obtain a ROCIS account, they have to go through the agency's Clearance Officer (see role description below), attend training (see document on ROCIS Login Page) and sign a security agreement.

Authorized Paperwork Contact (APC) – This individual can do everything that a PDEC can, but can also submit any type of PRA-related request on behalf of the agency's Certifying Official (CO). To obtain a ROCIS account, the APC must go through the agency's Clearance Officer (CL), attend training (see document on ROCIS Login Page) and sign a security agreement. Additionally, the ROCIS technical team must receive approval from the agency's CO, authorizing the new APC to submit requests for review. **Each agency must have at least one of these.**

Clearance Officer (CL) – This person is the primary point of contact for an agency with regard to new accounts. If someone from an agency wants an account with access to the PRA module, the request must be made through the Clearance Officer (CL). The CL will inform the ROCIS technical team of whether the new user will be a PDEC or an APC and, if applicable, the sub-agencies within the agency to which the user should have access. **Each agency must have one of these (only 1 CL per agency code).**

This CL role actually has no ROCIS privileges associated with it, so there are no requirements for a security agreement or training. In practice, almost all CLs are also APCs, and all of the conditions for an APC apply to them.

A change in an agency CL is normally handled by the outgoing CL, who notifies the ROCIS technical team of his replacement. If there is any question about who the CL for an agency is, the ROCIS technical team will ask the agency's CO to name the new CL.

Certifying Official (CO) – This person is ultimately responsible for verifying the accuracy and completeness of the information contained in each of the agency's PRA submissions (often this is the agency's Chief Information Officer, Chief Data Officer or other agency official). Every ROCIS PRA-related submission carries the CO's identifying information.

Similar to the CL, the CO role actually has no ROCIS privileges associated with it, so there are no requirements for a security agreement or training. Unlike the CL, COs are rarely ROCIS users who log into the system, but they may request other roles as needed.

The CO is responsible for delegating authority to agency APCs, and, when necessary, naming the agency's CL. **Each agency must have one of these (only 1 CO per agency code).**