ROCIS HOW TO GUIDE FOR AGENCY USERS OF THE UNIFIED AGENDA MODULE

November 16, 2020

Regulatory Information Service Center
(RISC)

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PREFACE

The Regulatory Information Service Center (RISC), a component of the General Services Administration's Office of Government-wide Policy, and the Office of Information and Regulatory Affairs (OIRA), in the Office of Management and Budget, have jointly developed the RISC/OIRA Consolidated Information System (ROCIS). RISC and OIRA utilize ROCIS to carry out three related coordination and oversight functions:

- RISC's compilation and publication of the *Unified Agenda of Federal Regulatory and Deregulatory Actions* and *The Regulatory Plan*.
- OIRA's review of regulatory actions under Executive Order 12866, as amended.
- OIRA's review of information collections under the Paperwork Reduction Act.

This ROCIS User's Manual describes and explains those features and functions of ROCIS that Federal agencies use to submit information for the Unified Agenda and Regulatory Plan.

The Unified Agenda and Regulatory Plan are tools for Federal regulatory planning and coordination and for informing the public about regulatory and deregulatory actions that agencies expect to consider or review within the next 12 months. The Unified Agenda also lists actions or reviews completed or withdrawn since the last edition. The Unified Agenda is published twice each year, in the spring and fall. It includes entries from approximately 60 Federal departments and agencies. The Regulatory Plan identifies Federal regulatory priorities and provides additional information about the most significant regulatory actions that agencies expect to take in the coming year. The Regulatory Plan is published once each year, as part of the fall Unified Agenda.

The Unified Agenda is published in its entirety online at www.reginfo.gov. Beginning with the fall 2007 edition, the Agenda published in the Federal Register is limited to the complete Regulatory Plan plus those entries that are in each agency's regulatory flexibility agenda, as required by the Regulatory Flexibility Act (5 U.S.C. 602).

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1. SYSTEM ENVIRONMENT

System Overview

The RISC/OIRA Consolidated Information System (ROCIS) is the primary means by which agencies provide regulatory data for publication in the Unified Agenda and Regulatory Plan. ROCIS allows agencies to request new Regulation Identifier Numbers (RINs), enter regulatory information, and electronically submit Unified Agenda and Regulatory Plan entries.

ROCIS includes the following features:

- Accessibility via the Internet to OIRA, RISC, and the Federal agencies
- Electronic data entry, review, and submission of Unified Agenda and Regulatory Plan data by Federal agencies
- Electronic processing and review of data by RISC and OIRA
- Access as required by section 508 of the Rehabilitation Act of 1973 (as amended)
- Search and report functionality

In addition, ROCIS offers the capability to exchange data with agencies' own tracking systems using browser-based file transfer and XML.

Agency Roles

To manage system access, agency users have been broken down into the following six roles:

Regulatory Data Entry Contact (RDEC): This role can request new RINs and update agenda entries in ROCIS.

Authorized Regulatory Contact (ARC): This role is able to perform all of the same tasks that the RDEC can perform. In addition, this user can authorize submission of the Unified Agenda and Regulatory Plan for publication.

Executive Order Regulatory Contact (EORC): This role can request new RINs, update rule data, and request EO or CRA designation for rules. They may delegate EO/CRA responsibilities to an alternate.

Authorized Executive Order Regulatory Contact (AEOR): This role combines the functions performed by the ARC and EORC, allowing the user to request new RINs, update rule data, submit the Unified Agenda and Regulatory Plan, and request EO or CRA designation for rules. This role is appropriate for agencies where a single person or small group of people share Agenda and regulatory development responsibilities.

2. System Requirements and Use

This section describes the minimum computer requirements for accessing ROCIS. It also presents an overview of the ROCIS graphical user interface, including a description of the Navigation menu, screen features, list features, and required data entry fields.

Minimum Computer Requirements

The following is the minimum workstation configuration for using the system:

- Intel Pentium 100 Megahertz (MHz) processor or equivalent
- Monitor running at least 800 x 600 pixel resolution
- 64 megabytes (MB) of Random Access Memory (RAM)
- Internet access
- Internet Explorer 9.0, Google Chrome 31 or Mozilla Firefox 20
- JavaScript enabled on the Web browser
- Session cookies enabled on the Web browser; no use of persistent cookies

Accessibility (Section 508)

The ROCIS interface complies with Section 508 of the Rehabilitation Act of 1973, which states that information and electronic technology developed, procured, maintained, or used by the Federal Government must be accessible to and usable by Federal employees and customers with disabilities.

Navigation and Screen Features

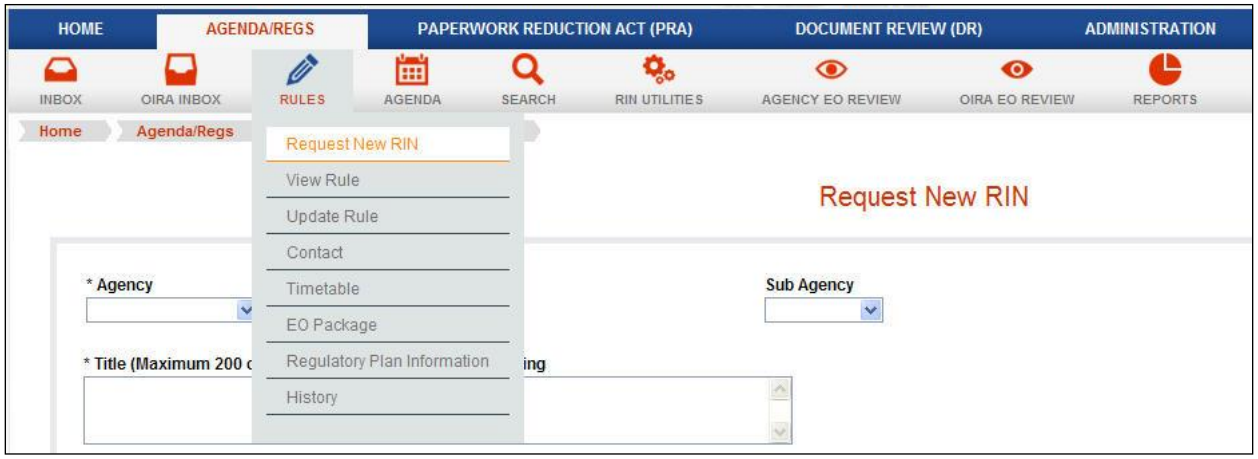
This section introduces the ROCIS Navigation menu and common screen features, and system functionality. It explains common screen features and their respective attributes in detail, including the Navigation menu, controls, tables and lists, and required fields.

Navigation Menu

The top of each screen displays a multi-tiered menu consisting of a series of tabs and drop-downs that are used for system navigation, referred to as the Navigation Toolbar. The first tier of the menu is divided into the different modules available in ROCIS. The Agenda/Regs main menu is divided into major areas of the user interface. Waving the mouse cursor over a tab in the Main menu displays the applicable Submenu drop-down. The lower tier menu, the Submenu, displays selections representing the individual screens available within the selected area. User roles control the display of different menus, so that a user who does not have access to the screens within a given menu option will not see that menu option. Users can switch between different screens by clicking on the selections in the Submenu. Below the menu is the

title of the individual screen followed by the screen's functional area (e.g., data entry, text display) as shown in Figure 2.3.1-1.

Figure 2.3.1-1: ROCIS Menu



If you have entered or revised any data, be sure to save it before navigating from the screen using the menu tab. Otherwise the data will not be saved.

Text Fields

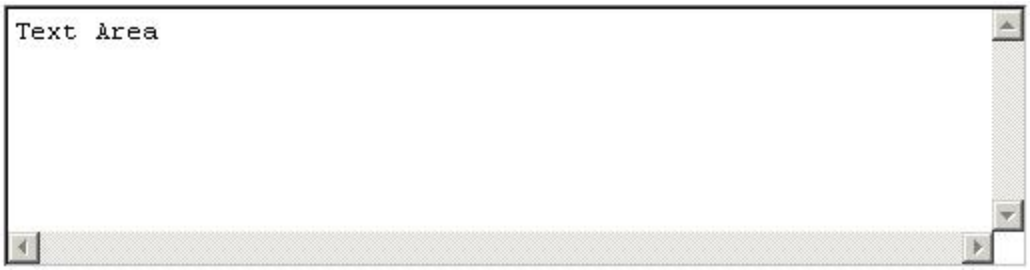
Text fields are types of screen inputs that allow users to enter/edit alphabetical characters and/or numbers. Text fields will not allow the user to type more characters into the field than can be displayed. For example, a user will not be able to type 30 characters into a field that can only accept 20 characters. Figure 2.3.2-1 shows a typical text field.

Figure 2.3.2-1: ROCIS Text Field

Text Areas

Text areas, like text boxes, allow the user to enter/edit alphabetical characters and/or numbers. Unlike text fields, text areas do not limit the amount of data to the visible space on the screen. Instead, the text area provides a vertical scroll bar that allows the user to scroll through the data. Text areas do not allow the user to type more characters into the field than are allowed. For example, a user will not be able to type 3000 characters into a field that can only accept 2000 characters. Figure 2.3.3-1 shows a typical text area field.

Figure 2.3.3-1: ROCIS Text Area



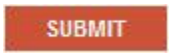
Buttons

Buttons are screen features that allow the user to initiate an action such as submitting a form, saving data, or canceling an operation. Table 2.3.4-1 lists several common buttons that exist in ROCIS. The button label describes the action it performs. Figure 2.3.4-1 shows a typical ROCIS button.

Table 2.3.4-1: ROCIS Buttons

Button Label	Defined Action
Add	Displays 'Add' screen that allows users to add rows to a table.
Browse	Allows browsing for files on a user's local drive.
Cancel	Closes the current screen or popup window without saving any changes.
Check Spelling	Performs a spell check of the text fields and text areas on the screen.
Login	Attempts to log a user into the system.
Save	Saves any changes.
Search	Performs a search using specified criteria.

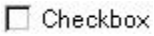
Figure 2.3.4-1: ROCIS Button



Checkboxes

Checkboxes are a type of screen input that allows the user to choose one or more values from a short list of options. Click on the checkbox to the left of the desired value to select the value. Figure 2.3.5-1 shows a typical ROCIS checkbox.

Figure 2.3.5-1: ROCIS Checkbox



Radio Buttons

Radio buttons are a type of screen input that allows the user to choose only one value from a short list of options. Click on the radio button to the left of the value to select the value. Figure 2.3.6-1 shows a typical ROCIS radio button.

Figure 2.3.6-1: ROCIS Radio Button

Drop-Down Menus

Drop-down menus are a third type of screen input that allows the user to choose only one item from a list. Text fields are displayed with a downward pointing arrow positioned to the right of the field to indicate that a menu of options is available. Clicking on the arrow 'drops-down' the menu, displaying the values. Select one of the items by clicking and highlighting the value. Figure 2.3.7-1 displays a typical drop-down menu.

Figure 2.3.7-1: ROCIS Drop-Down Menu

List Boxes

List boxes allow the user to choose one or more values from a list of options. Select a single option by clicking on the desired value. To select multiple values, hold down the Ctrl key while clicking on the desired values. Figure 2.3.8-1 shows a typical ROCIS list box.

Figure 2.3.8-1: ROCIS List Box

Tables and Lists

Tables and lists display data on the screen organized into rows and columns. Each row is a unique record, and each column provides data for that unique record. Screens containing tables and lists have several common features that assist in browsing the list.

- **<u>Navigating through the list</u>:** When list screens contain more than the default number of rows (10), a series of labeled arrows are display above the list:
  - **First**: This arrow is inactive the first time the results set is displayed. On subsequent results sets, the arrow is active. Clicking on the arrow refreshes the screen and displays the first results set.
  - **Last**: This arrow displays on all results sets except for the final set. Clicking on the arrow refreshes the screen and displays the final set.
  - **Next**: This arrow is displayed on all results sets except for the final set. Clicking on the arrow refreshes the screen and displays the next (in sequence) set of results.
  - **Previous**: This arrow is displayed on all results sets, except on the first set. On subsequent results sets, the control displays. Clicking on the arrow refreshes the screen and displays the previous (in sequence) set of results.

- **Sorting a list by columns:** The column headers in each list are hyperlinks. Clicking the hyperlink re-sorts the list in ascending order (alphabetical or numerical) using the selected column as the sort criterion. Clicking the same header again reverses the sort to descending order.

- **Results pagination:** Lists containing more than the default number of rows display hyperlinked page numbers below the list. The page numbers are numbered from 1 to X, with the X representing the final set of results. Each number represents the next increment of the results set, as dictated by the default number of rows displayed per page. Clicking on a number refreshes the screen and displays the selected increment of the results set.

Required Fields

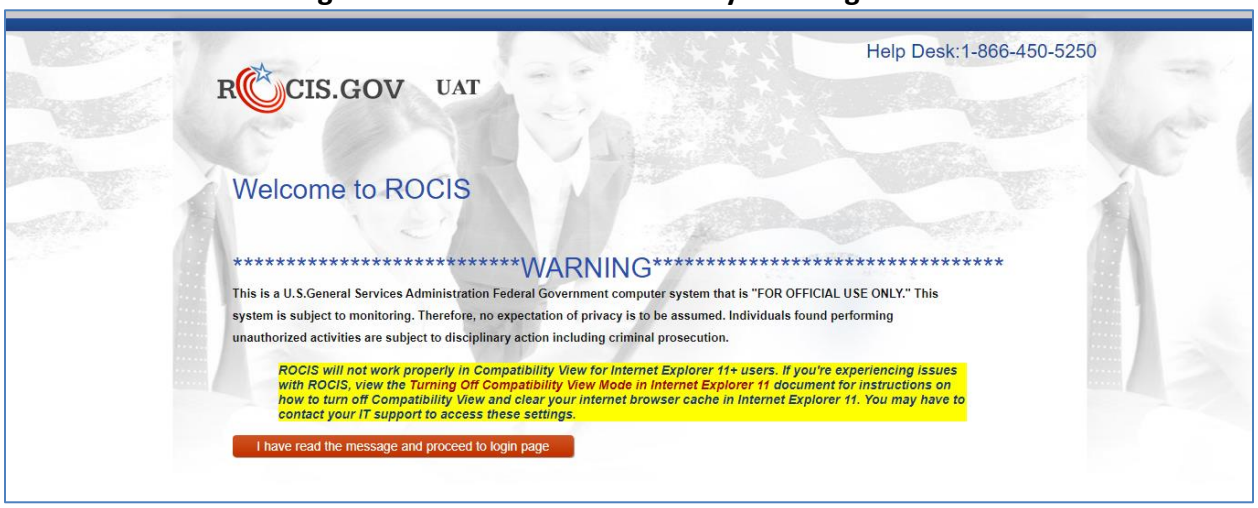
Many ROCIS screens allow users to add or update data. Most of these screens have one or more required fields. In order to save data on these screens, the user must fill in data for each required field. All required fields are marked with an asterisk (*). If an attempt is made to save a record without filling in the required fields, the user will be prompted by the system to go back and complete the required field(s).

3. General System Functionality

Login

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 3.1-1: For Official Use Only Warning Screen

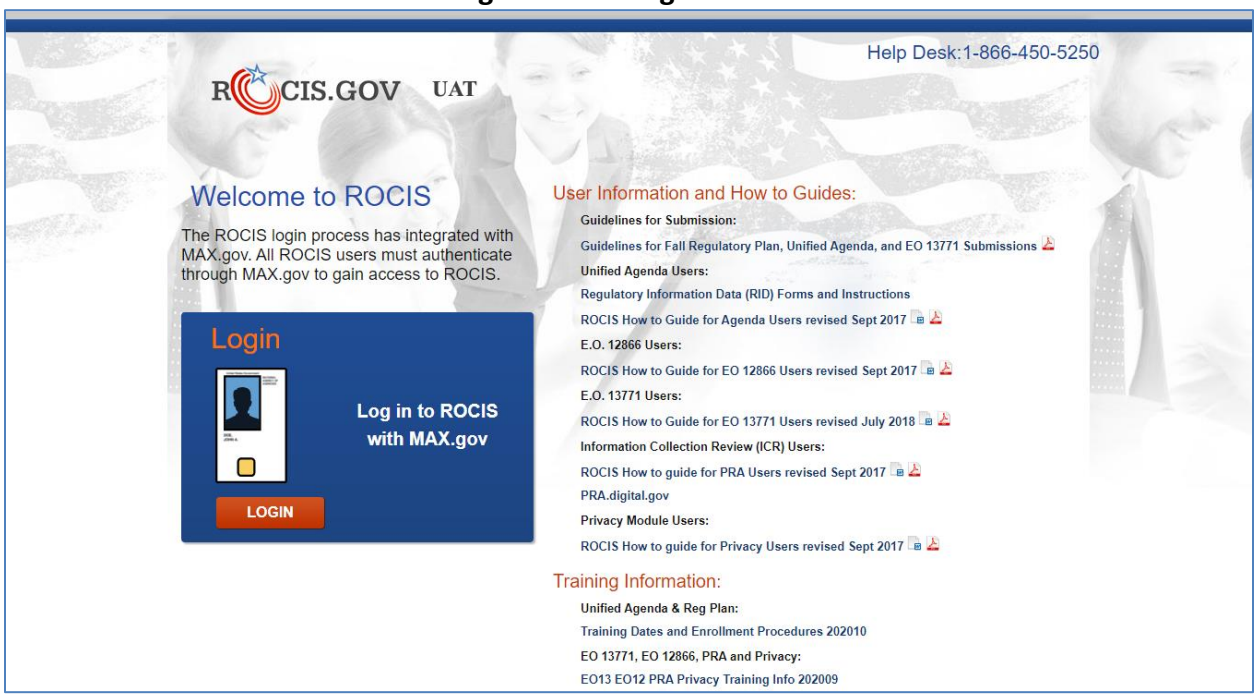


Logging In

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).

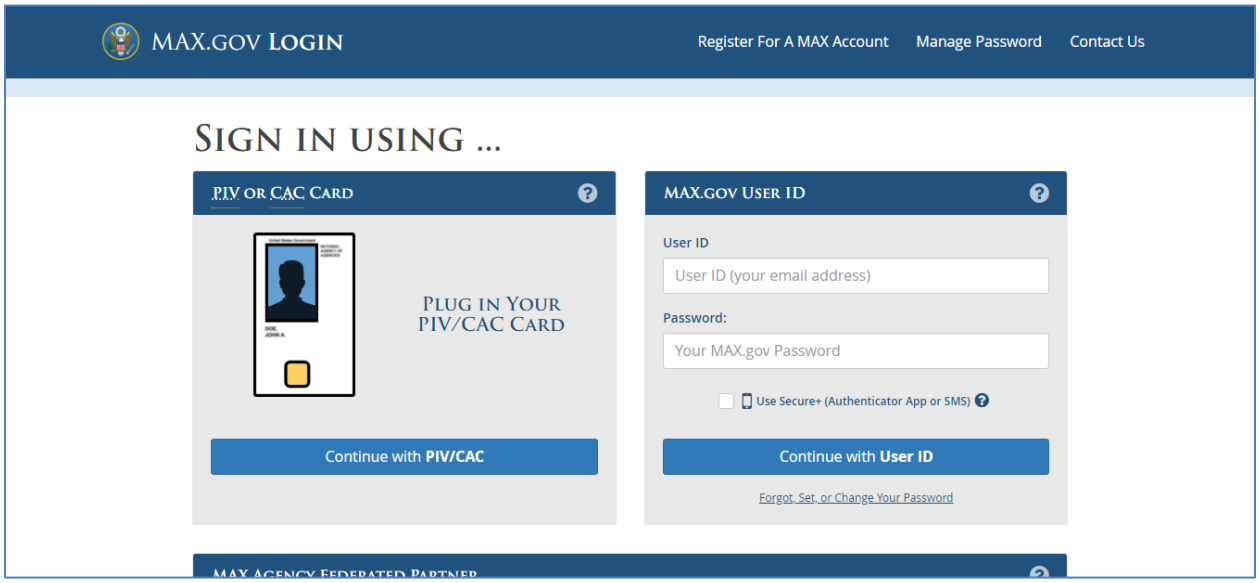
Click the Login button on the next screen to verify your identity with MAX.gov.

Figure 3.1-2: 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 3.1-2: Login Screen



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

The Unified Agenda functionality is part of the Agenda/Regs module of ROCIS. Click the arrow for 'Agenda/Regs' to continue.

Broadcast Messages

Broadcast messages, in the form of text messages, are sent to all users and appear in a window after the user logs in. Read the message and then continue. Figure 3.2-1 displays a typical ROCIS broadcast message.

Figure 3.2-1: Broadcast Message

Logout

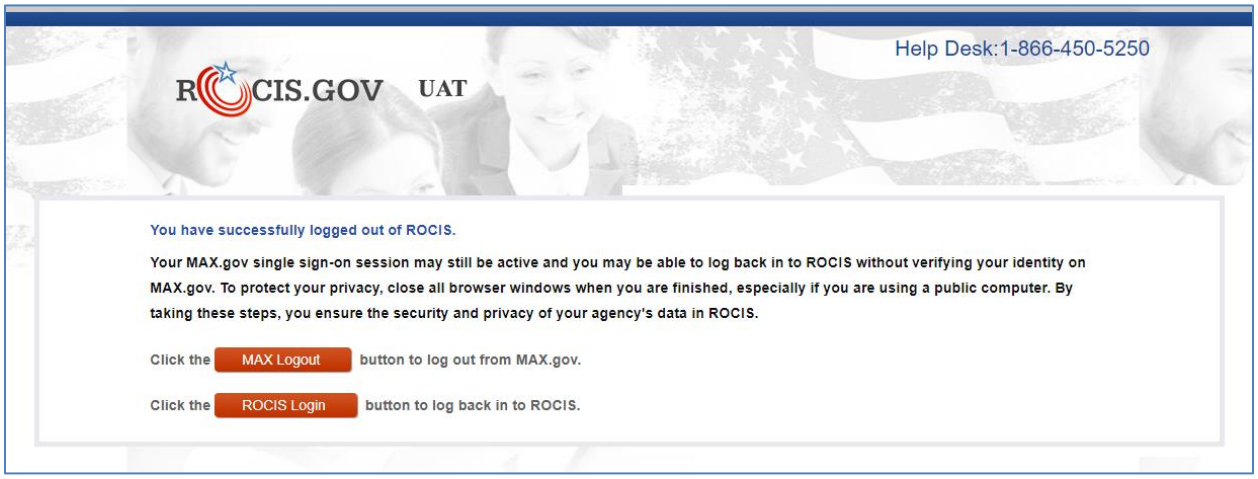
Click the Logout link at the top, right corner of any ROCIS page to logout of ROCIS.

Figure 3.3-1: 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.

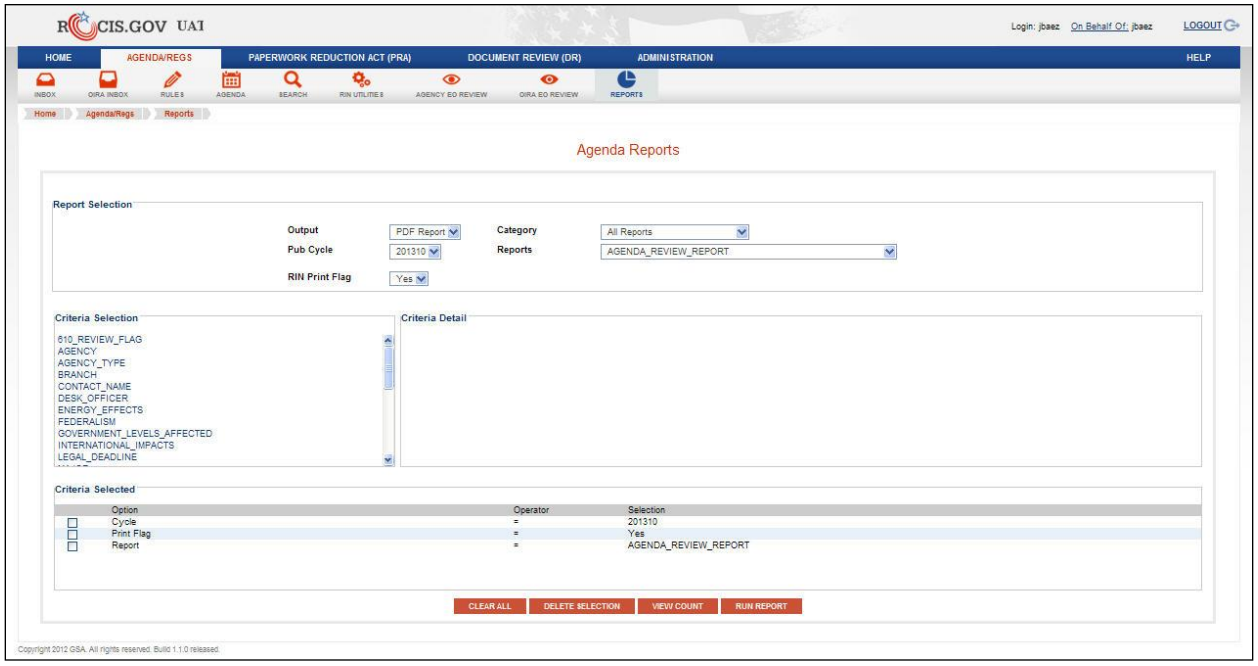
Figure 3.3-2: Logout Screen



4. REPORTS AND RESULTS

As agency users, you have access to a number of reports that organize your Agenda data and check for errors. The ROCIS reports screen allows you to build reports and guides you in selecting a report category, a specific report within that category, and report parameters. The reporting interface is accessed by selecting Reports from the Main menu. ROCIS then displays a screen divided into sections or "frames". In the upper frame, you may select the output format, publication cycle, and the type of report desired. The middle frames allow you to select specific characteristics of the report you choose. Your choices are then listed in the lower portion of the screen. Figure 4-1 illustrates the ROCIS reports screen.

Figure 4-1: ROCIS Reports Screen



The following sections describe how to build and run a report in ROCIS.

Specify Common Report Parameters

When you select a type of report, a frame on the left displays a list of data elements that enable you to specify the criteria for your report. For example, if you want a report for one or more particular agencies, you would select "Agency" from the list. After you have made a selection from the frame on the left, you may make more specific choices from the options listed in the frame on the right. For example, if you have selected "Agency", you would then select the particular agency, or agencies, for your report. (Note that individual users may be restricted as to their available options for selecting agencies or sub-agencies.) ROCIS currently provides report output in Portable Document Format or Comma Separated Values.

Portable Document Format (PDF) Report: PDF is a document file format developed by Adobe. Reports and links to PDF documents appear throughout this system. PDF-formatted files can be opened easily with Acrobat Reader software, which allows viewing and printing of the PDF report format on all major hardware and operating system platforms. If you do not have a copy of the Acrobat Reader, you can download this free software from the Adobe website.

The other common parameters, publication cycle, and print flag, are optional. The publication (Pub Cycle) defaults to the current publication. You may specify a previous publication as a search criterion by selecting a publication ID cycle from the Pub Cycle drop-down menu. The codes presented in the drop-down menu represent each year's spring (YYYY04) and fall (YYYY10) publications.

The print flag is used by RISC to monitor RINs that are not scheduled to be printed in the current Agenda such as “future RINs”. RINs with a print flag equal to “Yes” are scheduled to print in the specified Agenda; those with a print flag set to “No” are not.

As you build your report, the parameters you have selected are added to the table in the bottom frame. You can remove one or more previously selected parameters by clicking on the checkbox next to the parameter(s), and then clicking on the Delete Selection button.

If you wish to start over from scratch, click on the Clear All button to remove all of your selections.

View Count

You can click on the View Count button in the bottom frame to verify your selections. ROCIS runs a count to determine the number of records that will be returned in your report, based on the criteria you provided. A pop-up window displays the count.

Running a Report

After you have selected your report, specified the output format, and provided parameters, you can run the report by clicking on the Run Report button. ROCIS processes your selection criteria and returns the results to your browser in a separate window.

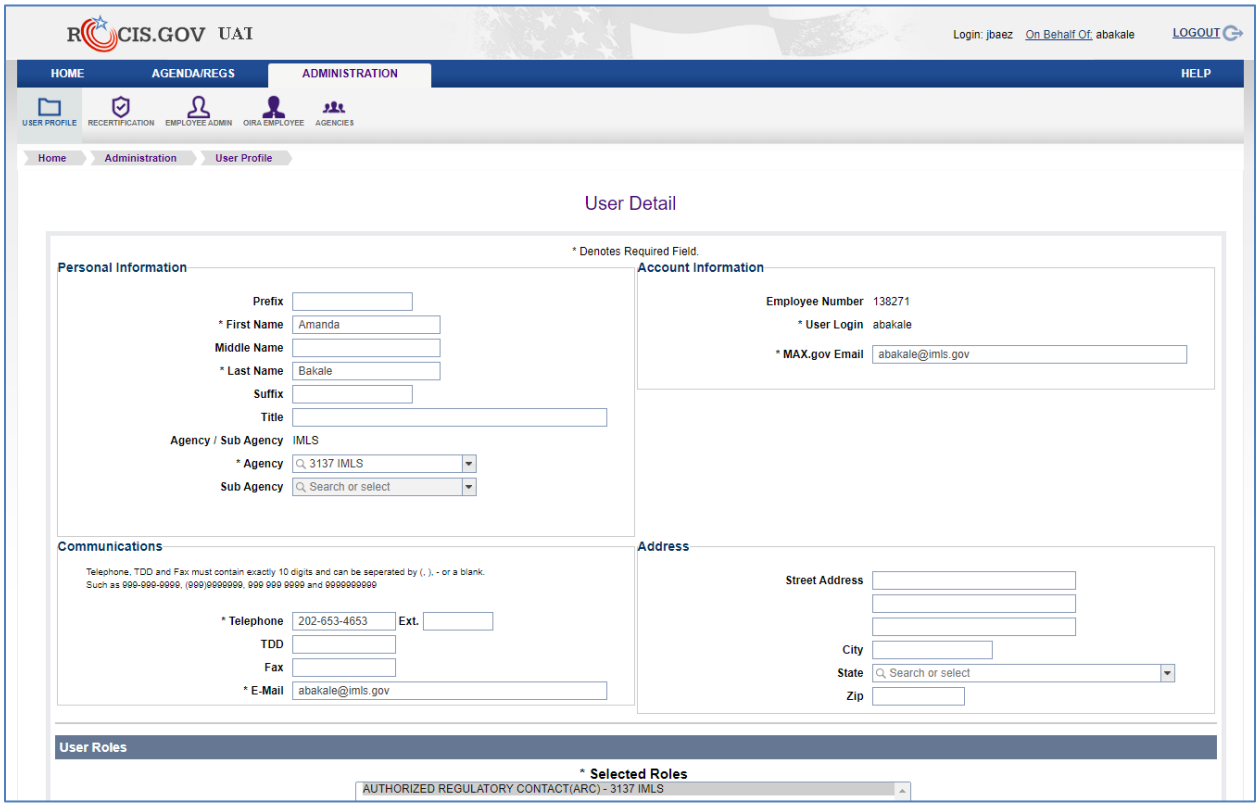
5. User Profile and Recertification

On the User Detail screen, ROCIS users can maintain their contact information.

Accessing the User Detail Screen

Click on the Administration Tab in the ROCIS module menu. Then click the User Profile icon in the navigation toolbar. The User Detail screen (see Figure 5.1-1) displays your contact information and preferences.

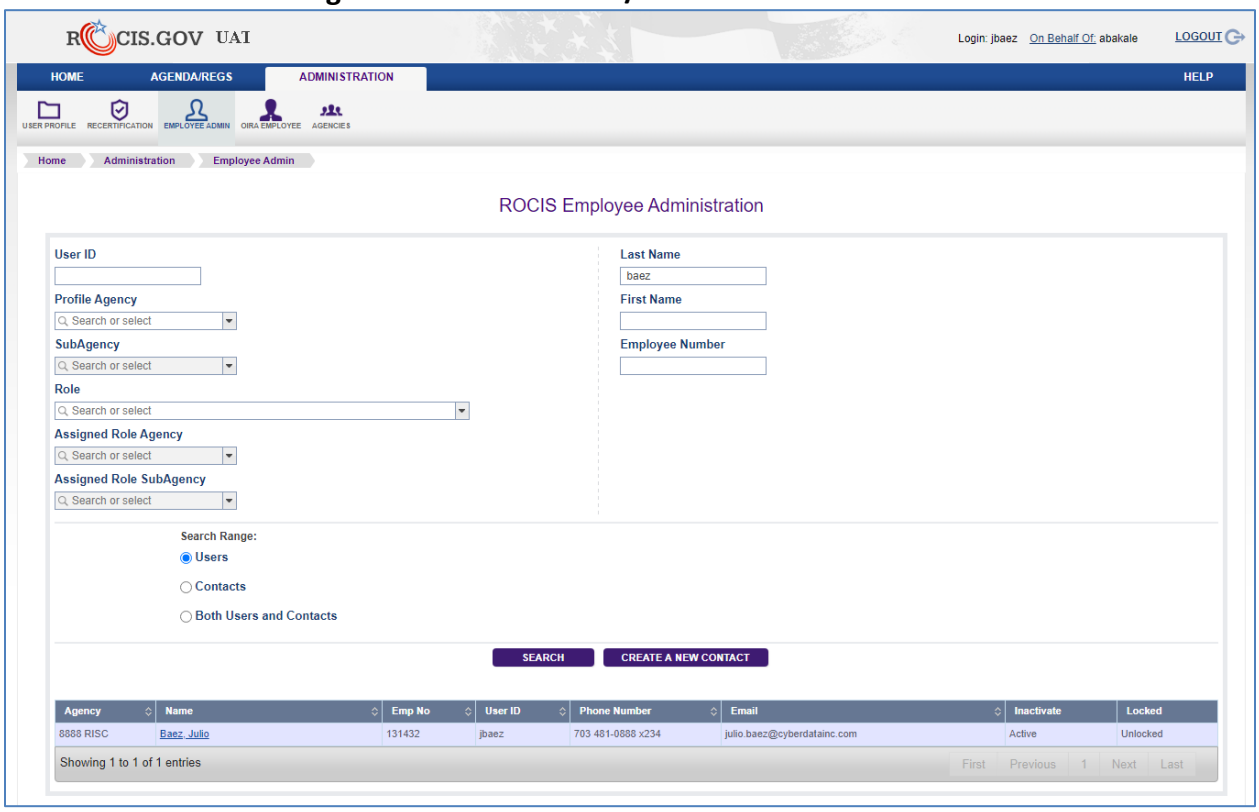
Figure 5.1-1: User Detail Screen



To search for a user and/or contact record click on Employee Admin and the ROCIS Employee Administration Screen appears. Enter the last name of the user and/or contact you are searching, select the desired option for “Search Range” (e.g. User, Contacts or Both Users and Contacts) and click search. The ROCIS Employee Administration screen will (see Figure 5.1-2) list the employees and/or contacts in the selected agency.

Locate your record in the list, and click on the hyperlinked name.

Figure 5.1-2: ROCIS User/Contact Administration



Update User Information

Once you are viewing your User Detail screen, you can update your information. ROCIS requires the following fields for each user:

- First name
- Last name
- Email Address
- Telephone number
- Agency

The following fields are not required, but can be filled in if the information is available:

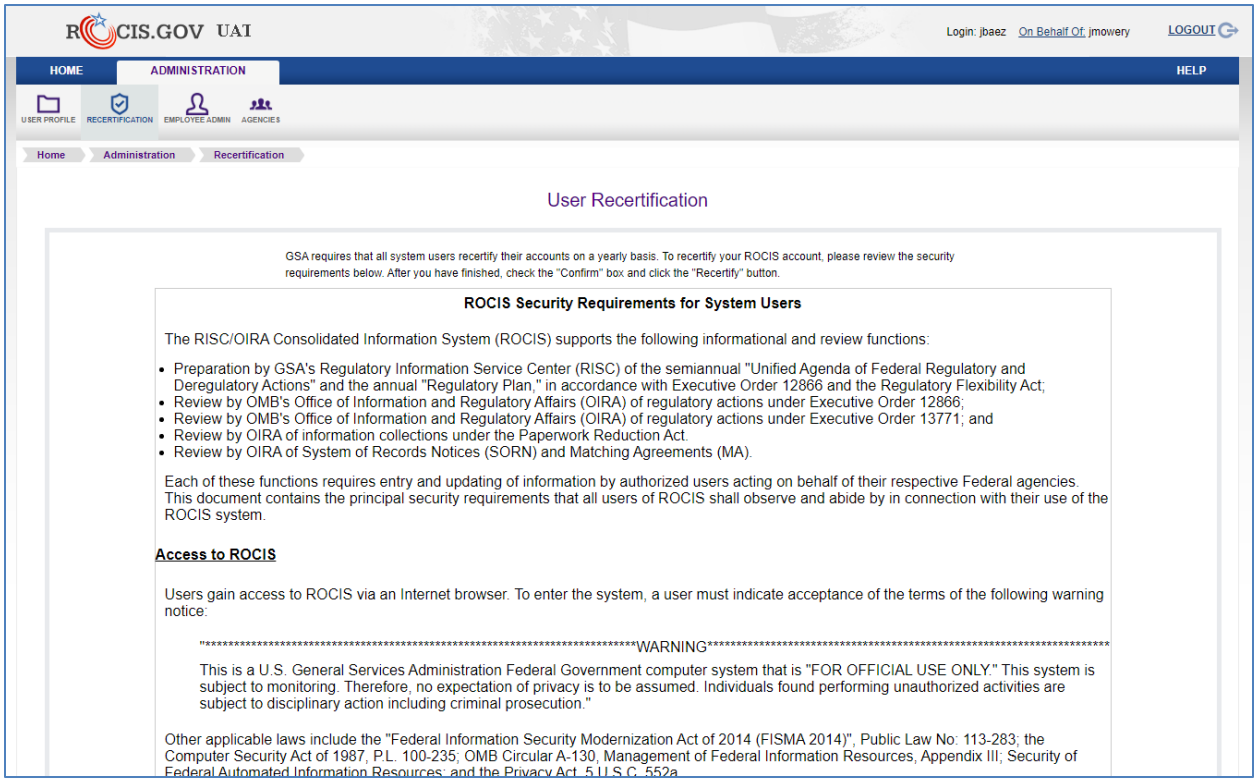
- Middle name
- Suffix
- Title
- Street address, City, State, and Zip Code
- TDD
- Fax

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.

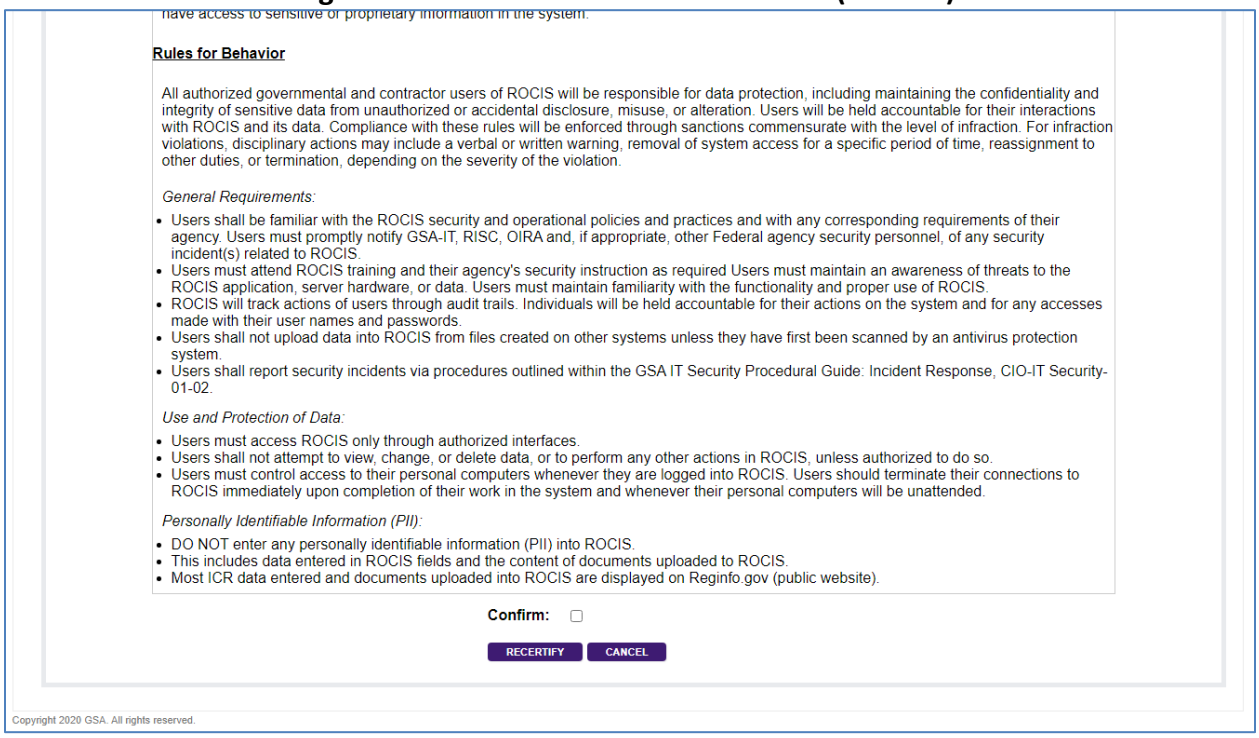
Two weeks before your security agreement anniversary date, ROCIS will begin to remind you that you will need to recertify. The Recertification icon can be found under the Administration tab.

Figure 5.3-1: 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.

Figure 5.3-2: User Recertification Screen (Bottom)



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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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 Agenda/Regs tab to return to the EO 12866 module.

6. SEARCHING ROCIS

You can locate a specific rule or group of rules by clicking on the Search tab on the main menu. The Rule Search screen appears. This screen provides a range of common data elements as search options including RIN, agency/sub-agency, date ranges, stage of rulemaking, and timetable actions. The top of the search screen accommodates basic searches, grouping the most commonly used search criteria together. Additional search criteria are grouped together at the bottom of the screen, providing more advanced search capabilities.

Perform a Basic Search

Basic search criteria are located on the top of the screen, above the divider:

- **RIN:** Enter a full or partial RIN. RINs are formatted NNNN-AANN, where the NNNN is the agency/sub-agency code, and AANN is a combination of letters and numbers uniquely identifying the RIN within the agency/sub-agency's rulemakings.

- **Terms (Title and Abstract):** You can search the text of RIN title and abstracts by entering one or more words into the Terms field.

- **Agency:** Select an agency or department from the drop-down menu. For agencies or departments that have sub-agencies, you have the option of searching for all rules within an agency by not specifying a sub-agency.

- **Sub-agency**: The sub-agency drop-down menu contents depend on the selection made in the agency field.

  For those agencies or departments with sub-agencies, the drop-down menu will display the sub-agencies that are part of the selected agency.

  If the agency has no sub-agencies, the drop-down menu will be blank.

  You do not have to select a sub-agency. Leave the field blank to include all sub-agencies for that agency in your search.

- **Search Range:** ROCIS allows you to search for rules that appear in current or previous Unified Agendas. The default selection is the current RIN only (the most recent data).

  To choose a previous version or versions of the RIN, you can select the following options:

  - Current and Prior Publications: Searches all publications for RINs meeting your search criteria

  - Specific Publication: Specify a single publication (spring or fall of a specific year) to include in your search criteria.

Click “Yes” or “No” on the “Publish in the Regulatory Plan” checkboxes to indicate if you want to include or exclude RINs that have appeared in the Regulatory Plan.

- **Priority:** To search for RINs with specific regulatory priorities, click on one or more of the five checkboxes representing the priority values.

After you enter your search criteria, click on the Search button to begin the search and then to view your search results.

Perform an Advanced Search

Advanced optional search criteria are located below the blue divider on the Search screen. The criteria can be used in combination with any of the basic search criteria to narrowly focus your search.

- **Unfunded Mandates:** ROCIS allows you to include or exclude rules covered under section 202 of the Unfunded Mandates Reform Act (Pub. L. 104-4) because it includes a Federal mandate that may result in large expenditures by State, local, or tribal governments.

  Click on “Yes” to capture all types of unfunded mandates, or specify State, local or tribal governments and/or private sector.

  Check “No” to specify rules with no unfunded mandates.

  Check “Undetermined” to search for rules whose unfunded mandates remain undetermined.

- **Government Level Affected:** ROCIS allows you to include or exclude rules that are expected to affect levels of government.

  Click on “Yes” to capture all types of affected levels of government, or specify Federal, State, local, or tribal governments.

  Check “No” to exclude rules that affect one or more levels of government.

  Check “Undetermined” to search for rules whose effects on government levels remain undetermined.

- **Legal Deadline:** ROCIS allows you to search for rules with legal deadlines in a specified date range of a certain deadline action or type.

  To search for legal deadlines between two dates, enter “From” and “To” dates in the format of MM/DD/YYYY.

  To search for a specific date, enter the date in both the “From” and “To” fields.

To search for legal deadlines before a certain date, leave the “From” date blank and enter the desired date into the “To” field.

To search for legal deadlines after a certain date, enter the desired date into the “From” date and leave the “To” date blank.

- **Small Entities Affected:** You can include or exclude rules that are likely to affect small entities.

  Click “Yes” to capture all types of affected small entities, or specify businesses, governmental jurisdictions, or organizations.

  Check “No” to exclude rules that affect one or more levels of government.

  Check “Undetermined” to search for rules with an undetermined effect on small entities.

- **Is an analysis required by the Regulatory Flexibility Act (RFA) because this rulemaking is likely to have a significant impact on a substantial number of small entities?**

  ROCIS allows you to include or exclude rules that require an RFA analysis.

  Click “Yes” to capture all types of affected entities for the RFA analysis, or specify businesses, governmental jurisdictions, or organizations.

  Check “No” to exclude rules that require an RFA analysis.

  Check “Undetermined” to search for rules for which the need for an RFA analysis is undetermined.

- **Major:** ROCIS allows you to search for rules considered "Major" under 5 U.S.C. 801 (Pub. L. 104-121).

  Select “Yes” to include rules considered Major.

  Select “No” for rules that are not Major.

  Select “Undetermined” for rules where the major determination has not been made.

- **EO 13771 Designation:** You can search for rules based on the EO 13771 Designation field (as defined by M-17-21). Available options include:

  Deregulatory
  Regulatory
  Fully or Partially Exempt
  Not subject to, not significant
  Independent Agency
  Other

- **CFR Citation:** To search for rules that affect specific section(s) of the Code of Federal Regulations, enter the CFR citation in the text box.

- **Legal Authority:** To search for rules developed under a specified legal authority, enter the legal authority in the text box.

- **Federalism Implications:** You can include or exclude rules that have "Federalism implications" as defined in Executive Order 13132.

  Select "Yes" to include rules with Federalism implications.

  Select "No" for rules that do not have Federalism implications.

  Select "Undetermined" for rules where determination of the rule's "Federalism implications" has not been made.

- **Timetable Action Date:** ROCIS allows you to search for timetable actions in a specified date range and to search for a specific action type.

  To search for actions between two dates, enter a "From" and a "To" date in the format of MM/DD/YYYY.

  To search for a specific date, enter the date in both the "From" and "To" fields.

  To search for actions before a certain date, leave the "From" date blank, and enter the desired date into the "To" field.

  To search for legal deadlines after a certain date, enter the desired date into the "From" date and leave the "To" date blank.

  Dates can be supplied in three different formats:

  - **Actual Dates:** Supplied in the form MM/DD/YYYY.

  Actual dates should never be in the future (exception explained under Predicted dates). They identify when a step actually happened.

  - **Projected Dates:** Supplied in the form MM/00/YYYY.

  A date supplied in this form means the agency is projecting the month and year the action will take place, but not the actual day when it will occur.

  Future dates should be in the projected date format, since exact projections are not likely.

  There are two exceptions: Effective dates that are known should be entered as actual dates. Similarly, actual comment period end dates are used where the action has already been published.

- **To Be Determined Dates:** In some instances, agencies may indicate what the next action will be, but the date of that action is "To Be Determined." Agencies indicate this by entering a date in the form 00/00/0000.

You can search for a specific action type by entering it into the Action text box. The following list of action types represents the most common steps in a rulemaking process in the order these steps are normally taken:

- **ANPRM (Advance Notice of Proposed Rulemaking):** Prerule Stage
- **ANPRM Comment Period End:** Prerule Stage
- **NPRM (Notice of Proposed Rulemaking):** Proposed Rule Stage
- **NPRM Comment Period End:** Proposed Rule Stage
- **Interim Final Rule:** Final Rule Stage
- **Interim Final Rule Comment Period End:** Final Rule Stage
- **Interim Final Rule Effective:** Final Rule Stage
- **Final Action:** Final Rule Stage
- **Final Action Effective:** Final Rule Stage

You may also search by rule stage drop down menu. After you enter your search criteria, click on the Search button to begin the search and view the search results.

Search Results

The Search Results screen displays a list of rules that meet your search criteria. Each rule is displayed in a row in the list. If you searched for the rule in more than one publication, the same rule may appear multiple times. If no rules meet your search criteria, the results will indicate that no records were found.

The Search Results screen contains four columns:

- **RIN:** The Regulation Identifier Number of the rule.

  The RIN is a hyperlink. Click on the RIN to display the View Rule screen for the rule.

- **Agency:** Displays the agency code, agency and sub-agency (if applicable) for the rule.

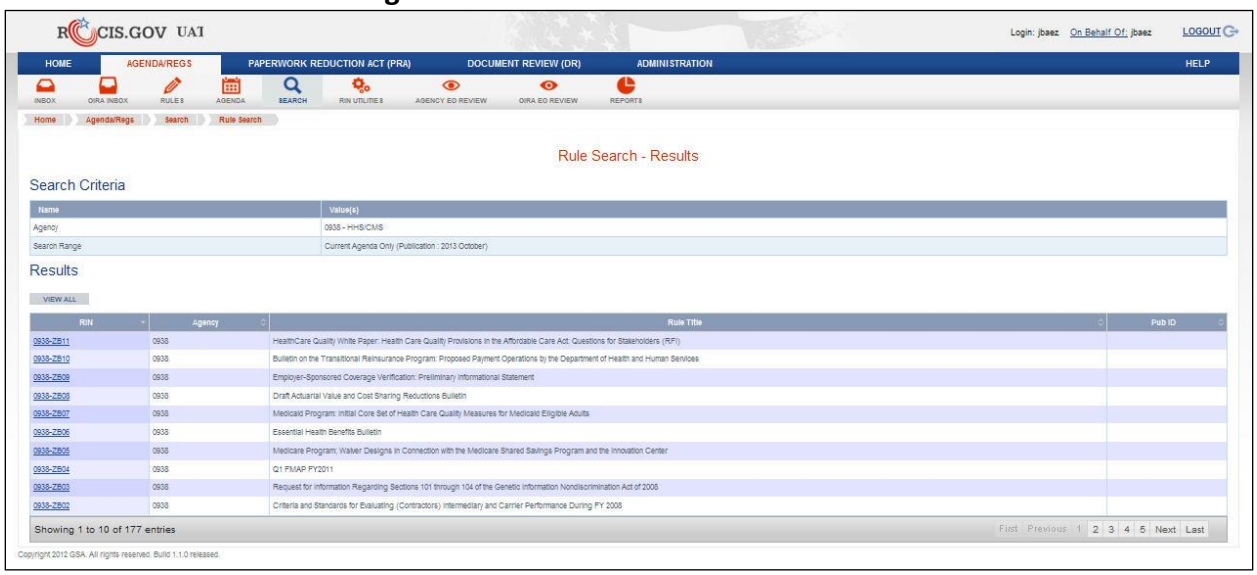
- **Rule Title:** The title of the rule.

- **Pub ID:** The identification number of the Unified Agenda publication in which the rule appeared.

The publication ID is formatted YYYYMM, where YYYY represents the publication year. An MM value of 04 indicates that year's spring publication, and an MM value of 10 indicates that year's fall publication.

Click on the Search Tab to return to the Search screen. Figure 6.3-1 displays the Rule Search Results screen.

Figure 6.3-1: Rule Search Results Screen



7. REQUEST NEW RIN/RULE MAINTENANCE

You must request a RIN for each new regulation under development. RISC uses this number to track regulations in the Unified Agenda. The same RIN is used at every stage of the rulemaking proceeding.

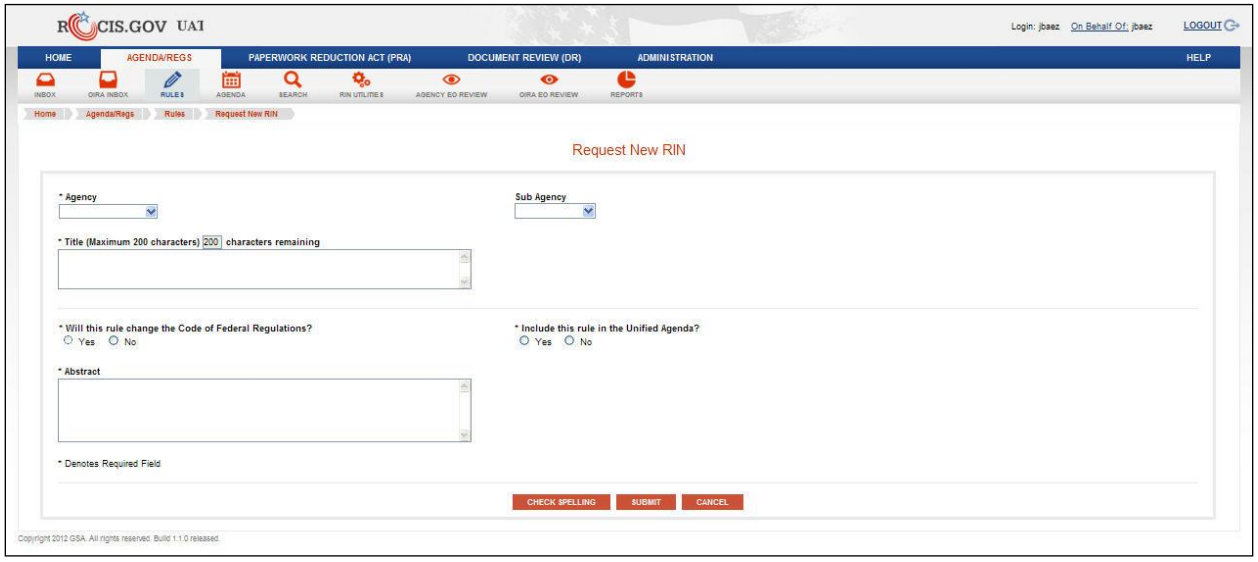
You will also need a RIN before you submit a rule to OMB for EO review. Do not request RINs for activities that are not related to specific rulemaking proceedings such as advisory committee meetings. You may request RIN assignments for only those agencies you are authorized to update.

Access the Request New RIN Screen

Use the Request New RIN screen to create a rule record in ROCIS and receive a RIN assignment. Based on answers to questions, ROCIS will assign either a RIN (for rulemaking activities that will be published in the Agenda or the Regulatory Plan) or a Z-RIN (for rulemaking activities that will not be published, but are subject to review by OIRA).

The Request New RIN screen is accessed from the Main menu bar. Select the Rules link from the menu bar. ROCIS will automatically select the Request New RIN link from the submenu and display the Request New RIN screen as shown in Figure 7.1-1.

Figure 7.1-1: Request New RIN Screen



Request New RIN

This screen contains the minimum data elements required to assign a new RIN. You must enter the rule title, abstract, and indicate whether the rule should be included in the Unified Agenda. Follow the sequence below to request a new RIN.

1. Fill in the following fields:

   - **Agency:** Select the agency from the drop-down menu.

   - **Subagency:** Select the subagency (if applicable) from the drop-down menu.

   - **Title:** Enter a title in the text box. Use a brief description that will inform readers of the subject of the regulation.

     Avoid titles like "Revision of Section 286," which do not communicate the subject matter. Also avoid mentioning in the title specific stages in the rulemaking process. For example, a title like "Hazard Communication" is preferable to "Proposed Rule on Hazard Communication," because you can use the same title throughout the entire rulemaking proceeding.

   - **Will this rule change the Code of Federal Regulations?** Select either “Yes” or “No” to indicate whether or not the rule will change the CFR. If it will change the CFR, it must be published in the Unified Agenda.

   - **Include this rule in the Unified Agenda?** Select “Yes” or “No” to indicate whether the rule will be published in the Unified Agenda.

   - **Abstract:** Enter an abstract of the rule in the text box. Briefly summarize the regulatory action. Provide enough information to distinguish it from other similar regulatory actions. It should be a brief description of the problem that the rule will address; the need for a Federal solution; to the extent available, alternatives that the Agency is considering to address the problem; and potential costs and benefits of the action.

2. **Check Spelling:** Click on the Check Spelling button to check the spelling in the text fields on this screen.

3. **Submit:** Click on the Submit button to request the RIN.

ROCIS validates the entered data and presents confirmation of a newly assigned RIN on the Update Rule screen where you may continue adding data. New RINs are included in the current agenda unless your agency has already submitted its agenda to RISC for publication. In that case, the new RIN will be assigned as a “future RIN” and will appear in the following agenda cycle.

View Rule

The View Rule screen provides a read-only summary of data elements related to a RIN. The screen serves as a hub for rule information in ROCIS, and is the standard display for rule data.

The View Rule screen is the destination for links appearing in search results and agenda review lists. Use this screen for summary information about a rule, including Agenda and Plan data elements and related rules.

After reviewing data on this screen, you can select from a variety of actions outlined in the ROCIS menu (e.g., update data related to the rule, enter timetable data, etc.).

You may also select from a number of on-screen links to view additional information, from non-ROCIS sources including:

- Legal Authority (Public Law, Statutes at Large and United States Code) references.
- Federal Register (FR) publications associated with timetable actions.
- URLs provided by the agency for public comments and other information about the rule.

Accessing the View Rule Screen

You must first locate a rule before viewing it. The Rule Search Results and Agenda Status screens provide hyperlinked RINs where you can click on the RIN and access the View Rule screen as displayed in Figure 7.4-1.

Figure 7.4-1: View Rule Screen

ROCIS.GOV UAT

Login: jbaez On Behalf Of: althomas LOGOUT

HOME | AGENDA/REGS | ADMINISTRATION | HELP

INBOX | RULES | AGENDA | SEARCH | AGENCY EO REVIEW | REPORTS

Home > Agenda/Regs > Rules > View Rule

RIN Created Date: 07/12/1994
RIN Created By:
RIN Status: Repeating RIN

RIN Modified Date: 08/11/2017
RIN Modified By: Agnes Thomas
Agenda Stage of Rulemaking: No Stage

Agency/Sub-Agency: 0938 - HHS/CMS
Primary Agency Contact: Danielle Shearer
Pub ID: 201710

View Rule 0938-AG81

Title Conditions of Participation for Home Health Agencies; Delay of Effective Date (CMS-3819-F2)
Unfunded Mandates No
Major No
Anticipated EO 13771 Designation Regulatory

RFA Section 610 Review
Include in the Regulatory Plans No
Priority Substantive, Nonsignificant

Legal Authority
42 U.S.C. 1302 ; 42 U.S.C. 1395x ; 42 U.S.C. 1395cc(a) ; 42 U.S.C. 1395hh ; 42 U.S.C. 1395bb

CFR Citation
42 CFR 409 ; 42 CFR 410 ; 42 CFR 418 ; 42 CFR 440 ; 42 CFR 484 ; 42 CFR 485 ; 42 CFR 488

Legal Deadline

Action Description	Source	Date	Description
Final	Statutory	04/03/2020	MMA section 902

Overall Description of Deadline
MMA section 902 requires Medicare final rules publish within 3-years of a proposed or interim final rule. Rule may publish before the 3-year deadline.

Abstract

This final rule extends the effective date for the January 13, 2017 final rule entitled "Conditions of Participation for Home Health Agencies".

Timetable

Action Description	Action Date	FR Cite
NPRM	03/10/1997	62 FR 11005
NPRM Comment Period End	06/09/1997	
Second NPRM	10/09/2014	79 FR 61163
NPRM Comment Period Extended	12/01/2014	79 FR 71081
Second NPRM Comment Period End	12/08/2014	
NPRM Comment Period Extended End	01/07/2015	
Final Action	01/13/2017	82 FR 4504
Final Action Effective	07/13/2017	
Third NPRM; Delay of Effective Date	04/03/2017	82 FR 16150
NPRM Comment Period End	06/02/2017	
Final Action	07/00/2017	

Regulatory Flexibility Analysis Required No
Small Entities Affected (Optional) Businesses / Organizations
Government Levels Affected None
Federalism No
Agency has prepared or plans to prepare Statement of Energy Effects: No
International Impacts No
Additional Information Includes Retrospective Review under E.O. 13563.
Agency Sort Value 1
Agency Sort Value 2
Statement Of Need
Summary Of the Legal Basis
Alternatives
Anticipated Costs and Benefits
Risks
For more information about this RIN :
For public comments on this RIN :

Initial (Administrative Startup and /or Capital) Cost - $ 0
Yearly (Annual Operating) Cost - $ 0
Base Year of your dollar estimates

Affected Sectors No associated records found

Related RINs

Relation	RIN
Related to	0938-AJ11

Related Agencies

Agency	Relation
No associated records found	

Child RIN List

RIN	Title
No associated records found	

This is a reduced paper print Agency: Yes
Printed in the FR Unified Agenda: No
Displayed in the E-Unified Agenda: Yes

Contact

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Updating Rules

The Rule tab on the ROCIS Main menu provides a series of screens used to update rule data for the Unified Agenda and Regulatory Plan. This section discusses how to use each of these screens. You can review and enter data on each of the screens only after you have selected the rule you are interested in updating. The Update Rule screen is the main ROCIS data entry screen for rulemaking activity information associated with a RIN. However, timetable, rule contact person, and regulatory plan fields are updated on supplementary screens.

ROCIS imposes restrictions on editing rule data while RISC is preparing the spring and fall Unified Agendas:

- You can edit rule data at any time after requesting the RIN but before submitting the rule (as part of your agency's agenda) for publication in the Unified Agenda.
- You cannot edit a rule while your agency's agenda submission is locked.
- You cannot edit a rule after it has been published in the Unified Agenda as completed.
- You may edit rules that will not be published in the Unified Agenda (Z-RINs) at any time until the rule is completed.
- If you need to update a rule after it is locked, contact RISC.

Accessing the Screens Used To Update Rules

You must select a rule before attempting to update it. Locate the rule either by searching for it by RIN (on the Rule Search page) or by selecting it from the list of your agency's current RINs. After you select the rule, the View Rule screen appears. The Rules menu also displays, and you have the option of selecting, the Update Rule, Contact, Timetable, or Regulatory Plan Information options to update the rule.

The Update Rule screen contains most of the data required for publication in the Unified Agenda. You must enter at least the title and abstract to save the record, though additional data will be required for Agenda submission. Figure 7.5.1-1 shows the Update Rule screen.

Figure 7.5.1-1: Update Rule Screen

HOME | AGENDA/REGS | ADMINISTRATION | HELP

INBOX | RULES | AGENDA | SEARCH | AGENCY EO REVIEW | REPORTS

Home > Agenda/Regs > Rules > Update Rule

RIN Created Date: 07/12/1994
RIN Created By:
RIN Status: Repeating RIN

RIN Modified Date: 08/11/2017
RIN Modified By: Agnes Thomas
Agenda Stage of Rulemaking: No Stage

Agency/Sub-Agency: 0938 - HHS/CMS
Primary Agency Contact: Danielle Shearer
Pub ID: 201710

Update Rule 0938-AG81

* Title (Maximum 200 characters) 109 characters left
Conditions of Participation for Home Health Agencies; Delay of Effective Date (CMS-3819-F2)

RFA Section 610 Review

*Unfunded Mandates
subject to Section 202 of the Unfunded Mandates Reform Act(PL 104-4)
Yes No Undetermined
If Yes, check all that apply
State, local, or tribal governments Private Sector

* Include in the Regulatory Plan Yes No
* Priority Substantive, Nonsignificant
* Major No
* Anticipated EO 13771 Designation Regulatory

* Legal Authority
Not Yet Determined
42 U.S.C. 1302
42 U.S.C. 1395x
42 U.S.C. 1395cc(a)
42 U.S.C. 1395hh
42 U.S.C. 1395bb
Check if more

ADD LEGAL AUTHORITY ROW

* CFR Citation
None Not Yet Determined
42 CFR 409
42 CFR 410
42 CFR 418
42 CFR 440
42 CFR 484
42 CFR 485
42 CFR 488
Check if more

ADD CFR CITATION ROW

*Legal Deadline
None

Action	Source	Date	Description
Final	Statutory	04/03/2020	MMA section 902

ADD LEGAL DEADLINE ROW

Overall Description of Deadline (Maximum 500 characters) 350 characters left
MMA section 902 requires Medicare final rules publish within 3-years of a proposed or interim final rule. Rule may publish before the 3-year deadline.

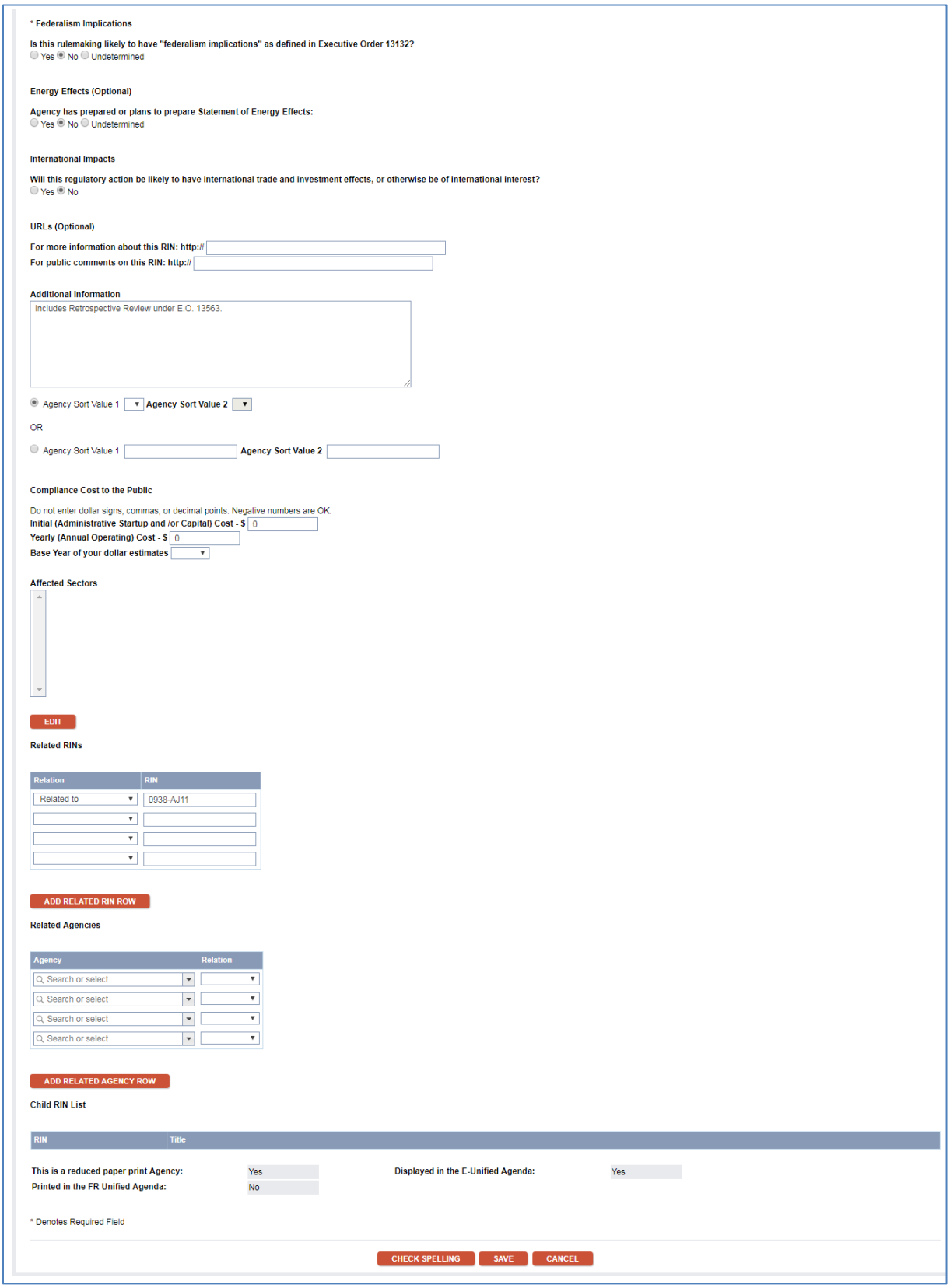
* Abstract (Maximum 20000 characters) 19847 characters left
This final rule extends the effective date for the January 13, 2017 final rule entitled "Conditions of Participation for Home Health Agencies".
p Words: 20

* Regulatory Flexibility Analysis Required
Is an analysis required by the Regulatory Flexibility Act because this rulemaking is likely to have a significant impact on a substantial number of small entities? If your answer is "No" or "Undetermined", you may wish to complete the optional question "Small Entities Affected".
Yes No Undetermined
If Yes, check affected small entities (check all that apply):
Businesses Governmental Jurisdictions Organizations

Small Entities Affected (Optional)
Is this rulemaking likely to have some impact on small entities?
Yes No
If Yes, check affected small entities (check all that apply):
Businesses Governmental Jurisdictions Organizations

* Government Levels Affected
Effects on levels of government:
Yes No Undetermined
If Yes, check affected governments (check all that apply):
Federal Local State Tribal

Figure 7.5.1-1: Update Rule Screen (Cont'd)



- **Title:** Use a brief description that will inform readers of the subject of the regulation. Avoid titles like "Revision of Section 286," which do not communicate the subject matter. Also, avoid mentioning in the title specific stages in the rulemaking process. For example, a title like "Hazard Communication" is preferable to "Proposed Rule on Hazard Communication," because you can use the same title throughout the entire rulemaking proceeding.

- **Include in the Regulatory Plan:** If you are entering data for a fall publication and your agency reports in the Regulatory Plan, indicate for each rule whether it is a Regulatory Plan entry. For a spring edition, this field appears as static text and cannot be changed until the next fall's publication cycle opens (i.e., after publication of the spring Agenda).

- **Government Levels Affected:** Indicate if this action is expected to affect levels of government. If you check "Yes," also identify the specific levels of government that may be affected. "Undetermined" is a permissible response if the action is at an early stage of the rulemaking process. If the agency is reporting that it has completed the entry by taking some regulatory action (i.e., not withdrawing it), then you must indicate "Yes" or "No".

- **RFA Section 610 Review:** If the regulatory action is a planned or current review of an existing regulation under section 610(c) of the Regulatory Flexibility Act, specify Section 610 Review, Completion of a Section 610 Review, or Rulemaking Resulting From a Section 610 Review.

- **Unfunded Mandates:** This indicates whether the rule is covered under section 202 of the Unfunded Mandates Reform Act (Pub. L. 104-4) because it includes a Federal mandate that may result in expenditures by State, local, or tribal governments, in the aggregate, or by the private sector of $100 million or more in any one year. If you answer "Yes" to this question, you must indicate which category or categories may be affected.

- **Priority:** Select from the drop-down menu one of the five categories that indicate the rule's priority (see descriptions below). The priority of each Regulatory Plan entry must be either "Economically Significant" or "Other Significant." Also, actions designated as "major" will have a priority of "Economically Significant" or "Other Significant."

    - **Economically Significant:** A rulemaking action that will have an annual effect on the economy of $100 million or more or will adversely affect in a material way the economy; a sector of the economy; productivity; competition; jobs; the environment; public health or safety; or State, local, or tribal governments or communities. Economically Significant rulemaking actions ordinarily should appear in an agency's regulatory plan.

- **Other Significant:** A rulemaking action that is not Economically Significant that the agency anticipates will be reviewed under EO 12866. Also, a rulemaking that is not Economically Significant and will not be reviewed under EO 12866, but is considered important by the agency and a priority of the agency head. These rules may be included in the agency's regulatory plan.
- **Substantive, Nonsignificant:** A rulemaking action that has substantive impact but the magnitude of the impact is less than significant. These rulemaking actions are not Economically Significant, will not be reviewed under EO 12866, and are not, at present, an agency priority.
- **Routine And Frequent:** A rulemaking action that is a specific case of a multiple recurring application of a regulatory program in the Code of Federal Regulations and that does not alter the body of the regulation.
- **Informational/Administrative/Other:** A rulemaking action that is primarily informational or pertains to agency matters not central to accomplishing the agency's regulatory mandate but that the agency places in the Agenda to inform the public of the activity.

♦ **EO 13771 Designation:** Select from the drop-down menu one of the six categories that indicate the rule's EO 13771 Designation (as defined by M-17-21):

Deregulatory
Regulatory
Fully or Partially Exempt
Not subject to, not significant
Independent Agency
Other

♦ **Legal Authority:** Provide the citation(s) of the legal authority for the regulatory action. For statutes, cite the United States Code (USC), whenever possible. If a law is not yet codified, cite the Public Law (PL) number and section, not the Statutes at Large. You may enter the popular name of a law after its USC or PL citation (for example: 29 U.S.C. 206(d), Equal Pay Act of 1963).

Enter citations using the following formats:

Citation – ROCIS Format

42 U.S.C. 1302 – 42 U.S.C. 1302
*Citation like "42 U.S.C. 1302 and 1395" have to be entered separately in ROCIS (one entry for 42 U.S.C. 1302 and a second entry for 42 U.S.C. 1395).
20 U.S.C. 1411-20 – 20 U.S.C. 1411 to 1420
15 U.S.C. 78(c)-(hh) – 15 U.S.C. 78(c) to 78(hh)

12 U.S.C. 1701 et seq. – 12 U.S.C. 1701 et seq
Public Law 91-190, section 203 – Pub. L. 91-190, sec 203
Executive Order 12866 – E.O. 12866

- If the legal authority is "not yet determined," check the appropriate box. If you need to enter more than four citations, add additional legal authority rows by clicking the "Add Legal Authority Row" button.

♦ **CFR Citation:** Provide the citation(s) of the CFR section(s) that will be affected by the regulatory action. Do not cite to the chapter or subchapter and do not include the words "part" or "section" in your citation. Do not combine citations to more than one part or section unless they are numbered consecutively. If you wish to indicate "New" or "Revision," do so in parentheses after the citation.

Citation – ROCIS Format

42 CFR parts 121 – 42 CFR 121
*Citation like "42 CFR parts 121 and 123" have to be entered separately in ROCIS (one entry for 42 CFR 121and a second entry for 42 CFR 123).
13 CFR section 120.2(d)(4) – 13 CFR 120.2(d)(4)
42 CFR parts 121-135 – 42 CFR 121 to 135
Revision to 42 CFR 121 – 42 CFR 121 (Revision)

- If the CFR citation is "not yet determined" or if there will be no CFR citation, check the appropriate box. If you need to enter more than four citations, add additional legal authority rows by clicking the "Add CFR Citation Row" button.

♦ **Legal Deadline:** Check "None" if there are no legal deadlines. If there is a legal deadline, select the source from the drop-down menu to indicate whether the deadline is Statutory or Judicial. Select the action from the drop-down menu to indicate whether the action is NPRM, Final Action, or Other action. Enter the date in the date field in the form of MM/DD/YYYY. If the action is Other, you must type a description of the legal deadline in the description field. If the action is NPRM or Final, you may type a description if you wish. If you need to enter more than four legal deadlines, click on the Add Legal Deadline Row button.

♦ **Overall Description of Deadline:** You may type a description in the text box. This may be a summary of the descriptions of the individual legal deadlines. Do not enter text in this space unless there is more than one deadline or the nature of the deadline requires explanation. Do not repeat text entered above.

♦ **Abstract:** Enter an abstract of the rule in the text box. Briefly summarize the regulatory action. Provide enough information to distinguish it from other similar regulatory actions. This should be a brief description of the problem the rule will

address; the need for a Federal solution; to the extent available, alternatives that the agency is considering to address the problem; and potential costs and benefits of the action.

- **Regulatory Flexibility Analysis Required:** Indicate if an analysis is required by the Regulatory Flexibility Act because this rulemaking is likely to have a significant economic impact on a substantial number of small entities as defined by the Act (5 U.S.C. 601). "Undetermined" is a permissible response if the action is at the prerule or proposed rule stage. By the final rule stage, the agency should have made a determination. If you check "Yes", you must also identify the specific entities that may be affected. If the agency is reporting that it has completed an entry by taking some regulatory action (i.e., not withdrawing it), then you must indicate a determination of "Yes" or "No". If you selected Yes, check all that apply from the list (businesses, governmental jurisdictions, or organizations).

- **Small Entities Affected (optional):** Some agencies have chosen to indicate likely effects on small entities, even though they believe that a Regulatory Flexibility Analysis will not be required. Multiple small entities may be indicated.

    - If your answer to Regulatory Flexibility Analysis Required is No or Undetermined, you may choose to answer the question "Is this rulemaking likely to have some impact on small entities?" Select Yes, No, or Undetermined.

    - If you answered Yes to "Is this rulemaking likely to have some impact on small entities?," you must check all that apply from the list (businesses, governmental jurisdictions, and/or organizations).

- **Federalism Implications:** Indicate if this action has "Federalism implications" as defined in Executive Order 13132. This term refers to actions "that have substantial direct effects on the States, on the relationship between the national government and the States, or on the distribution of power and responsibilities among the various levels of government." The selection "Undetermined" is permissible if the action is at the prerule or proposed rule stage. By the final rule stage, the agency should have made a determination. If the agency is reporting that it has completed an entry by taking some regulatory action (i.e., not withdrawing it), then you must indicate a determination. (Independent regulatory agencies are not required to answer this question.)

- **Energy Effects:** Indicate whether the agency has prepared or plans to prepare a Statement of Energy Effects as required by Executive Order 13211 by selecting Yes, No, or Undetermined.

- **International Impact:** Indicate whether the regulatory action is expected to have international trade and investment effects, or otherwise may be of interest to the Nation's international trading partners.

- **URLs (Optional):** You may enter the URL of a website with more information about a rulemaking. You may also enter the URL of a website for public comments on a rulemaking.

- **Additional Information (Optional):** You may provide additional information about the entry that the agency wants to include in its agenda.

- **Agency Sort Values (Optional):** Agencies can assign codes (previously called subject codes) to establish the order in which entries will appear within the five stages printed in the Agenda (Prerule, Proposed Rule, Final Rule, Long-Term, and Completed Actions). Contact RISC if you wish to create a set of codes for your agency.

- **Compliance Cost to the Public (Optional):** Estimates should be gross compliance cost, not net cost that includes benefits to the public. You may record a negative cost, a figure preceded by a minus sign (-), to indicate a savings.

    - Initial (Administrative Startup and/or Capital) Cost: Estimate the cost. Do not enter dollar signs, commas, or decimal points.
    - Yearly Recurring (Annual Operating) Cost: Estimate the cost. Do not enter dollar signs, commas, or decimal points.
    - Base Year of your dollar estimates: Select the base year that was used to calculate your dollar estimates from the drop-down list.

- **Affected Sectors (Optional):** You may enter codes from the North American Industry Classification System (NAICS) to indicate the industrial sectors that may be most affected, either directly or indirectly, by the action. You may indicate both the sectors that could benefit from the regulation and those that could bear a cost. Contact RISC for instructions if you wish to use NAICS codes.

- **Related RINs (Optional):** You may enter one or more past or current RINs associated with a rulemaking and specify how they are related. For example, merged RINs, split RINs, new activity for previously completed RINs, or duplicate RINs. If more lines are needed, select the Add Related RIN Row button.

- **Related Agency (Optional):** If this is a joint rulemaking or common rule, you may indicate the other agencies participating. Select the agency or agencies from the drop-down menu. Select the relation from the drop-down menu. If more lines are needed, select the Add Related Agency Row button.

You may check the spelling of the text fields on this screen at any time by clicking on the Check Spelling button. **Be sure to save your changes before navigating away from the screen.** You must click on the Save button to save the changes to rule data. If you have made changes but do not wish to save them, click the Cancel button.

Rule Contacts

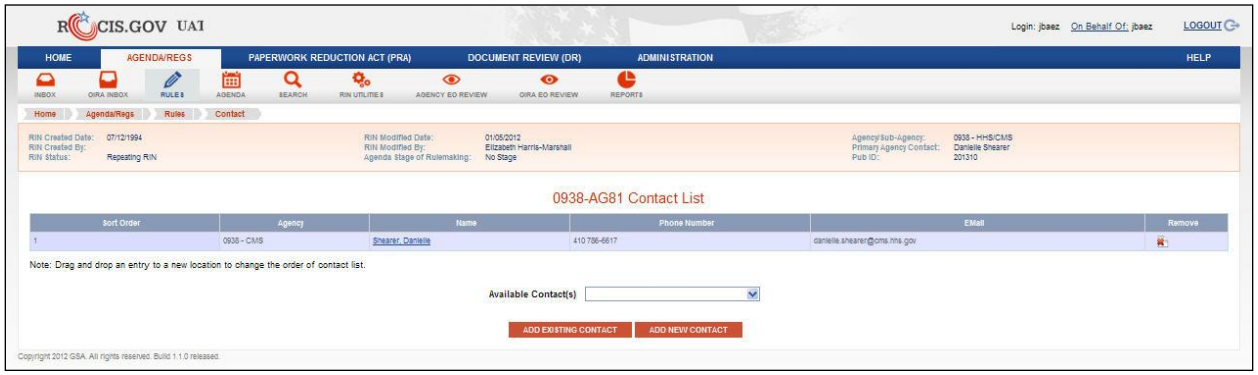
You must provide at least one person the public may contact for further information about the rulemaking. ROCIS organizes rule contacts in the Contact List screen.

Contact List Screen

You can view a list of rule contacts by first selecting a rule, and then clicking on the Contact tab on the Rules submenu. ROCIS will display the Contact List screen, as shown in Figure 7.6.1-1. This screen allows you to view existing contacts associated with the rule, click on a contact's name for further details, or update the contact information. You can also select a contact to associate with the rule or remove a previously selected contact from the list of contacts associated with the RIN. Finally, if the contact is not listed in ROCIS, you can create a new contact record.

The Contact List screen displays the agency associated with the contact, and the contact's name, phone number, and e-mail address.

Figure 7.6.1-1: Contact List Screen



You should enter contacts in the order you wish them to appear in the Unified Agenda. ROCIS provides two options to add a rule contact: (1) Add an existing contact (from the list that already exists in ROCIS), or (2) create a new contact.

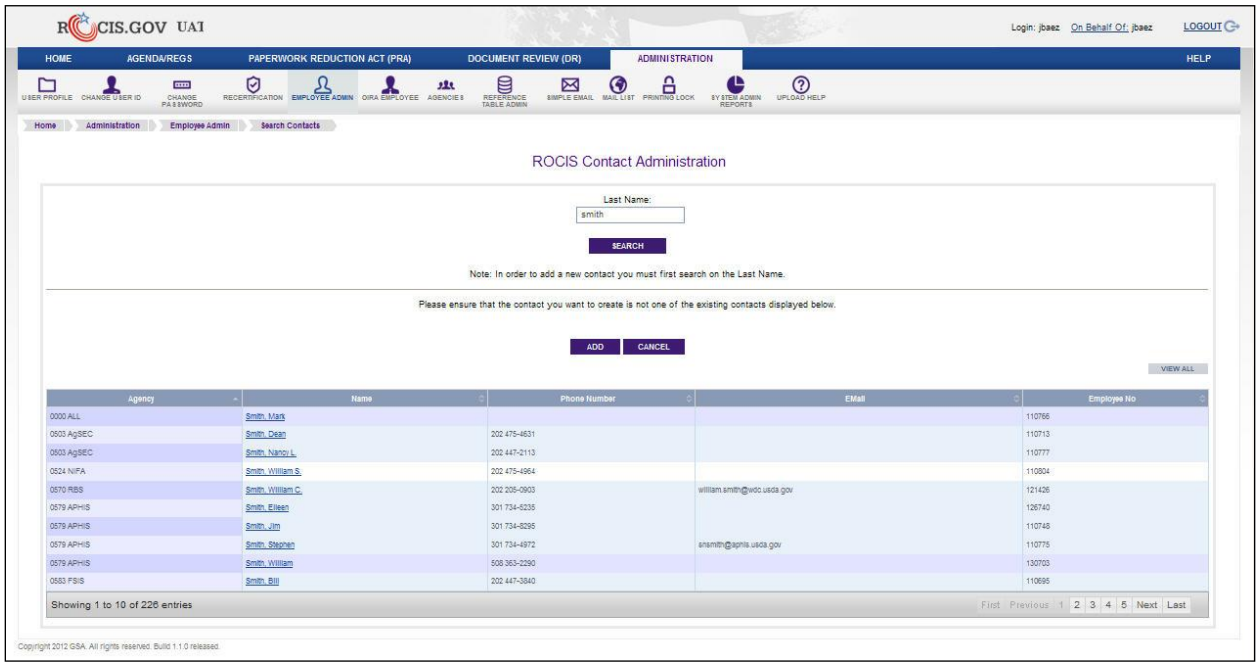
To add a new contact:

- Click on add new contact button and ROCIS Contact Administration Screen will appear as shown in Figure 7.6.1-1a. Fill in the required information and click search. This will populate if there is a match.

Figure 7.6.1-1a: ROCIS Contact Administration

- Check the listing to see if the contact already exists by scrolling down the page or clicking to the next page. See Figure 7.6.1-1b.

Figure 7.6.1-1b: ROCIS Contact Administration—Contacts



- If the desired contact is on this list, click on his or her name and then click on the “Add” button. The screen will refresh and add the selected contact to the list.

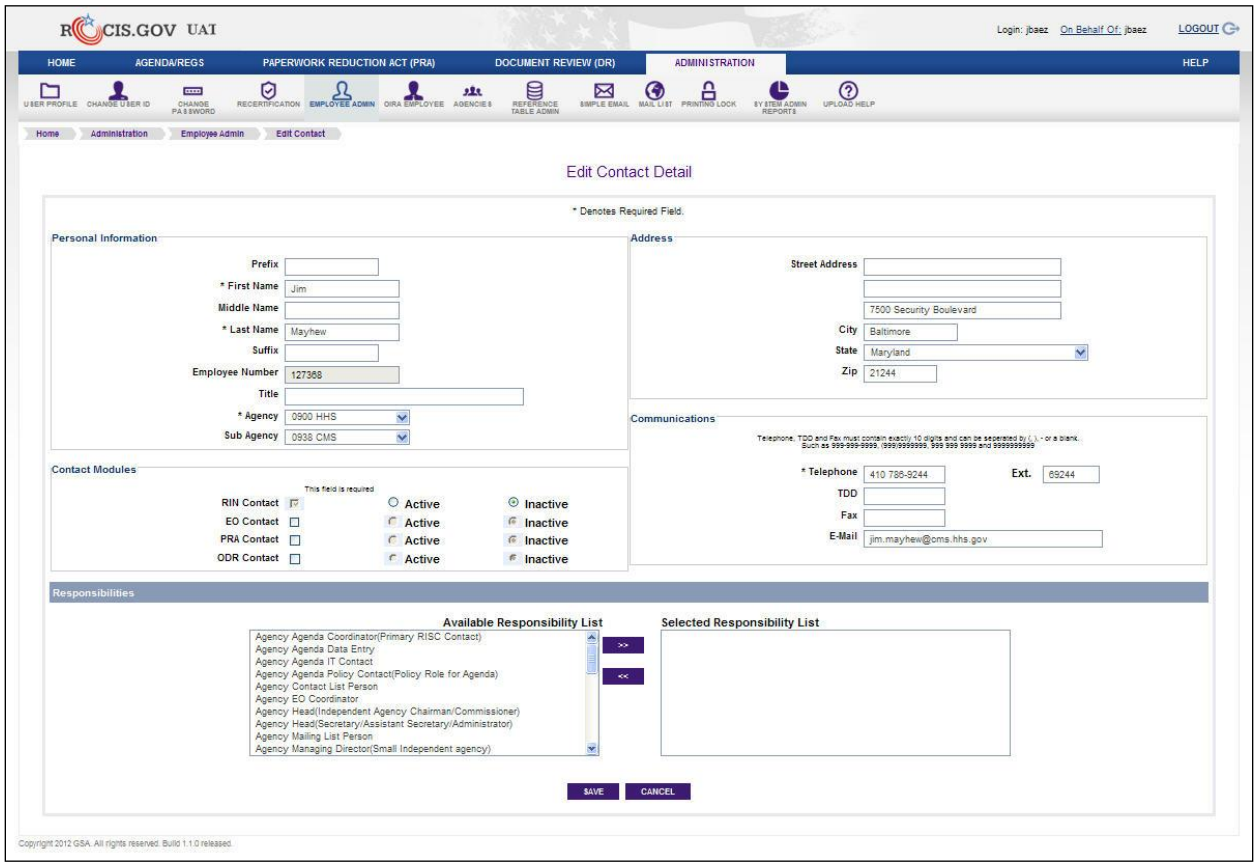
- If the desired contact is not in the list, click on the Add button. ROCIS will display a blank Contact Detail screen where you must enter the appropriate contact information.

You can review an existing contact or update the information by clicking on the contact’s name. ROCIS displays the Contact Detail screen where the contact information can be updated. You may remove a contact from the contact list for a particular rule by selecting the “Remove” in the far right column within the list.

Contact Detail Screen

You can view or update the full contact information for a rule contact on the Contact Detail screen, shown in Figure 7.6.2-1. (NOTE: Contact detail data remain available for updating after the agency submits its Agenda.)

Figure 7.6-2-1: Contact Detail Screen



You must provide at least a first and last name, telephone number, and agency or sub-agency when adding or updating a rule contact. Provide contact details as follows:

- **Prefix:** Enter the prefix for the contact. Include only prefixes associated with positions (e.g., Dr., Captain). Do not include prefixes such as Mr., Mrs., or Ms.
- **First Name:** Enter the contact's first name.
- **Middle Name:** Enter the contact's middle name or initial.
- **Last Name:** Enter the contact's last name.
- **Suffix:** Enter the suffix to the contact's name (e.g., Jr., III).
- **Title:** Enter the contact's job title.

- **Street Address:** Enter the contact's street address. Three address lines are provided.
- **City:** Enter the city portion of the contact's address.
- **State:** Enter the State portion of the contact's address.
- **Zip:** Enter the zip code associated with the contact's address.
- **Telephone:** Enter the contact's telephone number.
- **Extension:** Enter the contact's telephone number extension.
- **TDD:** Enter the contact's Telecommunications Device for the Deaf (TDD) number.
- **Fax:** Enter the contact's fax number.
- **E-mail**: Enter the contact's e-mail address.
- **Agency**: Select the agency or sub-agency from the drop-down list.

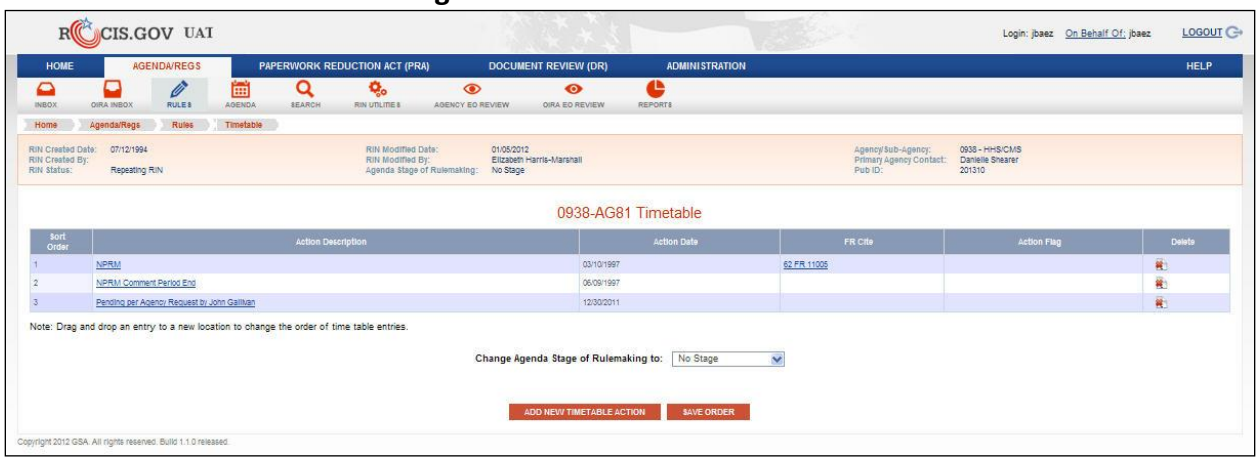
Timetable Actions

Each rule entry published in the Unified Agenda or Regulatory Plan includes a timetable that provides the history and future schedule of agency actions. Each action row in the timetable is composed of a group of data elements: timetable action type, timetable action description, timetable action date, timetable action Federal Register (FR) citation (if available), and timetable action flag (Next Action/Stop Action indicator). The action, date, and FR citations are published under the timetable heading in the Agenda. Click on the Timetable option in the Rules submenu to view the rule's timetable screen.

Timetable Screen

You can view the rule's timetable on the timetable screen as displayed in Figure 7.7.1-1.

Figure 7.7.1-1: Timetable Screen



Each row in the timetable represents a past or future rulemaking action. The timetable columns display the following data:

- **Sort Order**: If it is necessary to reorder the listing of actions displayed, drag and drop an action to the desired sort position in the table. Then click on the Save Order button.
- **Action Description**: The description of the timetable action (e.g., NPRM, Final Rule, Comment Period End). You can click on the Action Description link to access the Timetable Action Detail screen for the selected action.
- **Action Date**: Either the actual date of a listed publication in the Federal Register, the action date of any other agency action that has already occurred, or the projected month and year (for example, 12/00/2008) of the action. "00/00/0000" appears in the date column if the next action is determined, but there is no estimated future date for that action. The published Agenda will display “To Be Determined” for a 00/00/0000 date.
- **FR Cite:** The Federal Register citation for the action. You can click on the FR Cite link to access the volume and page number of the Federal Register. ROCIS will open a second browser window listing the Federal Register entries in the GPO Access database meeting the specified citation.
- **Action Flag**: An indication of whether the given action is the next projected action for the rule or if the action represents the completing action for the rule. Every rule must have one, and only one, timetable row with either a Next Action Indicator or a Stop Action Indicator.

You can also use the timetable screen to add, update or delete timetable actions.

- **To Add a New Timetable Action:** Click on the “Add New Timetable Action” button. ROCIS displays a blank Timetable Detail screen.

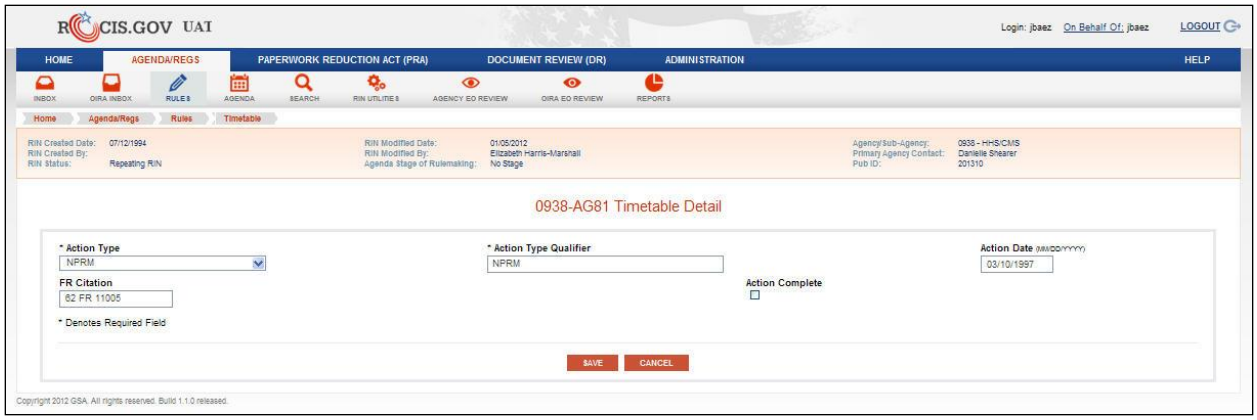
- **To Delete a Timetable Action:** Click on the Delete link on the row of the action you want to delete. You can delete only timetable actions that have not been published in the Federal Register and have not been sent to OIRA for review.

- **To Update a Timetable Action:** Click on the Action description link. ROCIS displays the Timetable Detail screen.

Timetable Detail Screen

After reviewing the timetable, you may view additional information on a particular action by clicking on the Action Description which links to the Timetable Detail screen as shown in Figure 7.7.2-1. The timetable is locked (along with the rest of a rule's attributes) after a rule has appeared in the completed action section of the Unified Agenda and after the agency has submitted its Unified Agenda.

Figure 7.7.2-1: Timetable Detail Screen



This screen displays the standard rule header as well as the following timetable action information:

- **Action Type:** You must select an action type from the drop-down menu. The menu displays both Standard and Other actions.

- **Action Type Qualifier:** Displays the selected action type in a text box. You can edit or add text to the selected action type. The contents of this field display in the Action Description column on the timetable screen. This is the text that will print in the Agenda.

- **Action Date:** Enter either the actual date of publication in the Federal Register (in the format of MM/DD/YYYY) the actual date of any other agency action that has already occurred, or the projected month and year (for example, 12/00/2008) of the action. Actual Dates must be entered as MM/DD/YYYY. Projected Dates must be entered as MM/00/YYYY. Enter 00/00/0000 as the Action Date if you know what the next action

will be but have no estimated future date for that action. Do not enter leading zeroes for page numbers with fewer than 5 digits.

- **FR Citations:** Enter the FR volume and page number in the text field. The FR Cite represents the volume number (VV) and page number (PPPPP) that the timetable action published in the Federal Register in the format VV FR PPPPP. There can be no FR citations associated with predicted dates (MM/00/YYYY) or with To Be Determined (00/00/0000) dates.

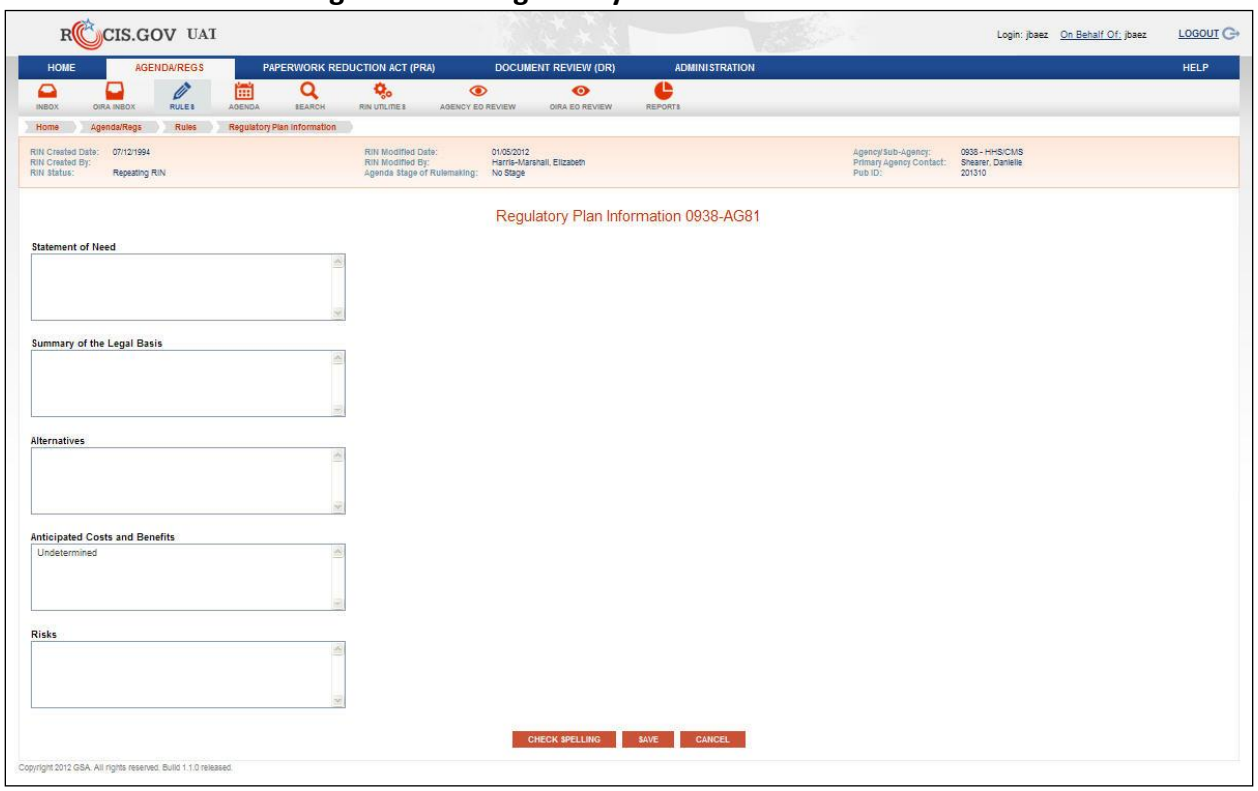
  The volume number should correspond to the actual year YYYY minus 1935. Exceptions to this are FR citations associated with some comment period end dates or effective dates. For example, if an NPRM was published on 12/03/2004, the volume number of the Federal Register for that year is 69. But in the same publication, it may state that the comment period ends on 01/03/2005. In that case, the timetable may have a row for NPRM Comment Period End on 01/03/2005 with an FR citation of the volume and page number of the NPRM.

- **Action Complete:** For completed actions, check the Action Complete checkbox for the action that completed the rulemaking (for example, Final Action or Withdrawn). Note that completion means the agency has terminated the rulemaking proceeding, not merely that it has published a rulemaking document. Enter the date of that action and the Federal Register citation, if any. Completed entries will not appear in subsequent Agendas.

Regulatory Plan Information

The Regulatory Plan contains additional information beyond the rule attributes included in the Unified Agenda. From the View Rule screen for any entry in the Regulatory Plan, select Regulatory Plan Information from the Rules submenu. You can add, edit, or delete information on the Regulatory Plan Information screen by keying or pasting it directly into the screen's text boxes. The Regulatory Plan Information Screen is displayed in Figure 7.8-1.

Figure 7.8-1: Regulatory Plan Information Screen



Each Regulatory Plan entry must contain at least two of the following additional fields including the Statement of Need and Anticipated Costs and Benefits:

- Statement of Need
- Summary of Legal Basis
- Alternatives
- Anticipated Costs and Benefits
- Risks

Click on the Save button to save the Regulatory Plan information. You may save data without completing each field. If you wish to discard your changes and return to the original information, select the Cancel button.

RIN History

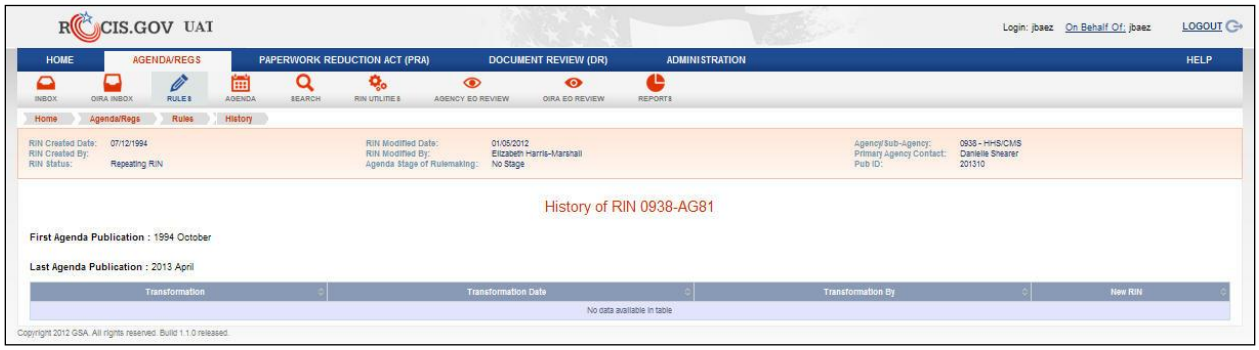
The RIN History screen lists the first time and last time the RIN appeared in the Unified Agenda, as well as a variety of transformations, if any, that affected its publication or its data. These transformations include the following events:

- **Futurized/Unfuturized:** Upon request, RISC staff can move a new rule from the current Agenda to the next (Future) Agenda, or vice versa.

- **Copy:** RISC staff can copy information from one RIN to another RIN, or from an existing RIN to a new RIN.
- **Transfer:** RISC can transfer rules from one agency to another when responsibility for a RIN is moved from one agency or subagency to another, (e.g., when there is a reorganization of an agency).

You can view the history of any RIN by first selecting a rule and then selecting the History option from the Rules submenu. Figure 7.9-1 displays the RIN History screen.

Figure 7.9-1: RIN History Screen



The RIN History screen displays the following data:

- **First Agenda Publication:** The first publication in which the RIN appeared.
- **Last Agenda Publication:** The final publication in which the RIN appeared.
- **Transformation:** The type of event which occurred (including the source RIN, if applicable).
- **Transformation Date:** The date when the transformation was performed.
- **Transformation By:** The user who performed the transformation.
- **New RIN:** The resulting RIN, if applicable.

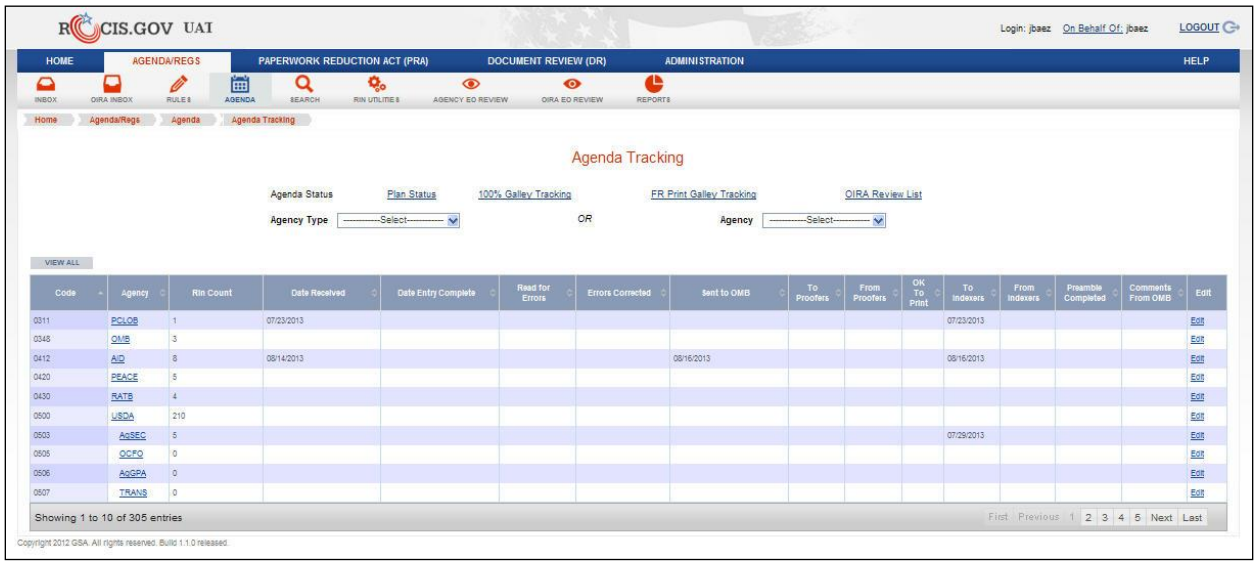
8. AGENDA TRACKING AND SUBMISSION

Each Agenda publication cycle formally starts with the issuance of OIRA's data call several months in advance of the publication date. However, you may update your agenda data at any time prior to submission. The Agenda submenu on the Agenda Main menu organizes your agency's submission. This section describes how to use the Agenda preparation functions of ROCIS.

Agenda Tracking Screen

The Agenda Tracking screen displays a summary of your agency's or sub-agency's Agenda entries. You will only have access to your agency or sub-agency, according to the instructions of your agency. For example, if you are assigned to a sub-agency, you will see only your sub-agency's rulemakings. If you are a parent agency user, you will see a list including the rulemakings of all sub-agencies. Figure 8.1-1 displays an agency's Agenda Tracking Screen.

Figure 8.1-1: Agenda Tracking Screen



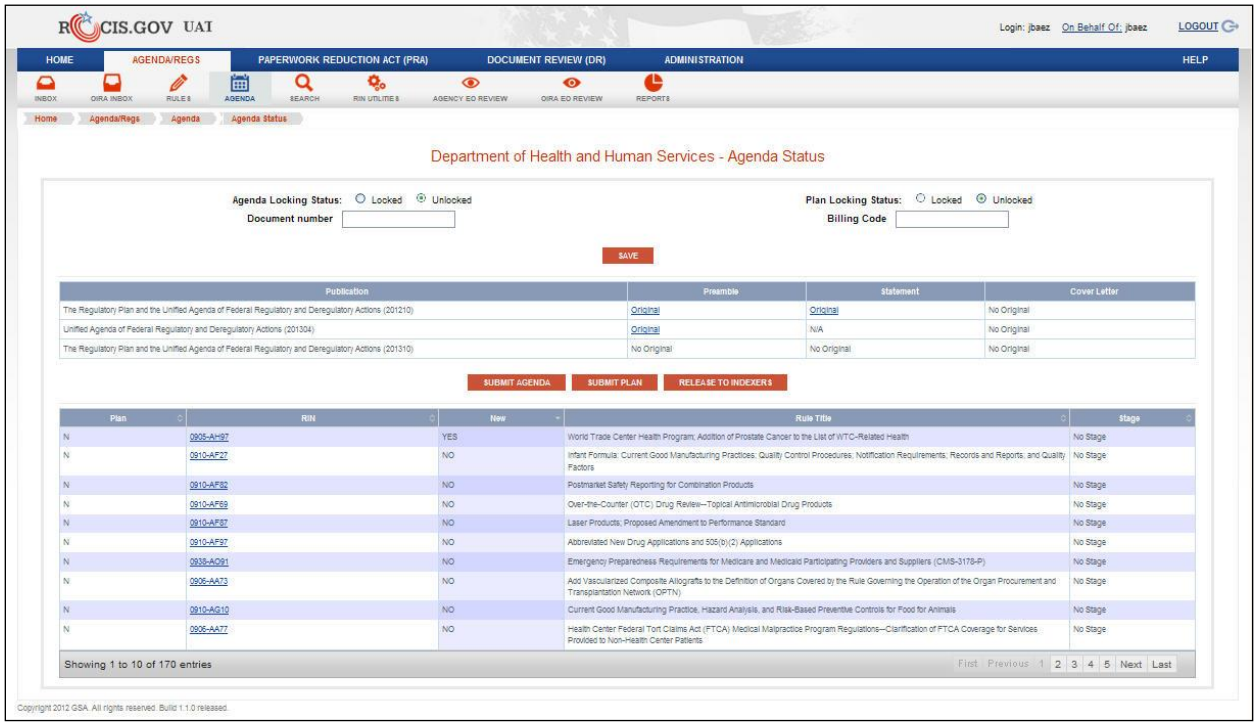
The Agenda Tracking screen displays your agency's code, abbreviated name, and the total number of Agenda entries. In the fall, the screen will also display the total number of Plan entries.

Click on your agency's abbreviated name to view the status of your Agenda submission.

Agenda Status

The Agenda Status screen organizes the selected agency's or sub-agency's submission into a single screen. You can use this screen to see if your Agenda and/or Plan are locked, submit the Agenda and Plan (restricted to the ARC role), have access to your agency's preamble and statement, and view the list of rules included in the submission. Figure 8.2-1 displays the Agenda Status Screen.

Figure 8.2-1: Agenda Status Screen



The screen displays the following data for the Agenda and Plan:

- **Agenda Locking Status:** Indicates if the Agenda is locked or unlocked (i.e., has been submitted to RISC or remains unsubmitted).
- **Document Number:** The document number of your submission (entered by RISC).
- **Billing Code**: Your agency's Federal Register billing code (entered by RISC).

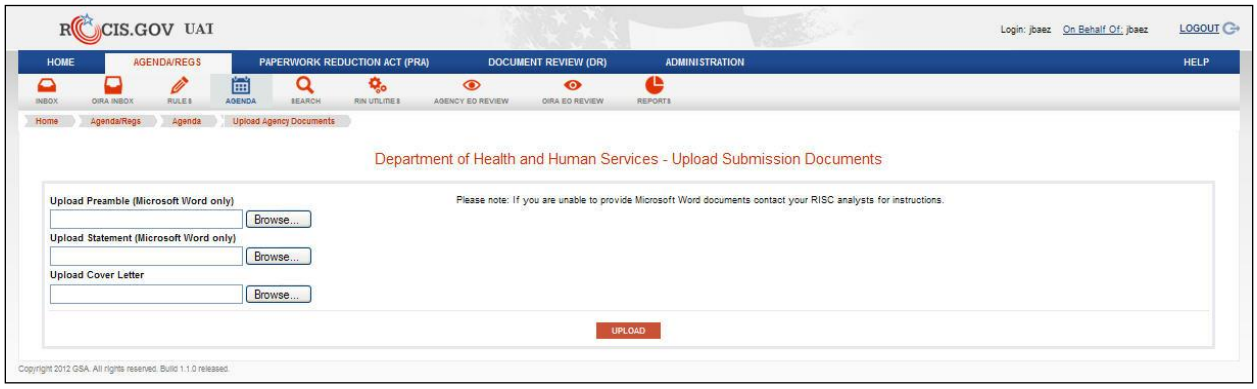
The screen also lists the rule entries included in the submission. Parent agencies view a list of all the sub-agencies' rule entries, while sub-agencies view only their own rule entries. The list includes the following data:

- **Plan:** In the spring, this is an indicator (Y = Yes, N = No) of whether or not the rule appeared in the previous fall's Plan. In the fall, this is an indicator of whether or not the rule has been selected to appear in the upcoming Plan.
- **RIN:** The RIN of the listed rule; it is hyperlinked to the View Rule screen.

- **New:** If "No," the rule has appeared in a previous Agenda. If "Yes," it is the first time the rule will be published in the Agenda.
- **Rule Title:** The title of the rule.
- **Stage:** The Agenda stage of rulemaking (i.e., Prerule, Proposed Rule, Final Rule, Long-Term Actions, Completed Actions, or No Stage). You must update any rule that shows "No Stage" before your agency's agenda can be submitted.

Parent agencies are responsible for providing a preamble introducing their agency agenda submission. If the agency has a Plan submission in the fall, it must provide a narrative Statement of Regulatory Priorities that introduces the agency's plan. You can upload these documents into ROCIS from the Agenda Status screen by clicking on the Upload Agency Documents option in the Agenda submenu. Figure 8.2-2 displays the Upload Submission Documents Screen.

Figure 8.2-2: Upload Submission Documents Screen



In the spring cycle, you may upload only your preamble. In the fall, agencies participating in the Plan can upload a statement as well.

Upload a document by clicking on the Browse button located to the right of the type of document you wish to upload. The Browse button pops up a window that allows you to browse your computer for the desired file, and then select the file. The file you select appears in the File Name text box in the pop-up window.

Click on the Open button to confirm your selection and close the pop-up window. The local computer path and file name appear in the text box to the left of selected browse button. Once you have specified the file(s) you wish to upload, click on the Upload button to transfer the file(s) from your computer to ROCIS.

Your submission documents appear as links in the Agency Submission Documents table on the Agenda Status screen. You can retrieve your submission documents for viewing or updating by clicking on each document's link. Your browser may ask you whether you would like to either open the file immediately or save it to disk. The browser might also ask you to specify an

application (e.g., Microsoft Word) to use to open the file. If you choose to open and edit the file, follow the instructions above to upload it again into ROCIS.

Agency ARCs are responsible for submitting their agency's agenda and plan. After you are satisfied that your rule entries are complete, you should run an error report and fix any noted errors.

When you have completed reviewing your rules and have provided your preamble and, if applicable, statement, you can submit your agenda or plan. Click on the Submit Agenda button or the Submit Plan button on the Agenda Status screen.

ROCIS performs an error check by looking for missing or inconsistent data. The application either provides confirmation that your submission has been accepted or informs you that data errors remain that must be fixed before ROCIS can accept your submission.

Agenda and Plan submissions should be made separately. After ROCIS accepts your agenda submission, the system locks your agenda entries and preamble in order to allow RISC to process a static set of data. After ROCIS accepts your plan submission, it also locks your plan entries and statement. The Agenda and Plan locks are applied separately upon submission. The locks prevent you from updating all rule data that appear in the publications by:

- Removing the Update Rule tab from the rules menu.
- Making the Timetable and Regulatory Plan Information screens appear in a read-only format.
- Removing the Submit Agenda and/or Submit Plan button.
- Removing the ability to upload new versions of the preamble or statement on the Upload documents screen.

You may continue to update rule contacts while your agenda is locked. The lock doesn't affect rules that do not publish in the Agenda (either because they are Z-RINs or were created as "future RINs" after your agency's submission).

You may continue to request new RINs while your agency's submission is locked. Any new RINs assigned during this period will be future RINs. After publication of the new edition of the Unified Agenda, RISC will unlock your submission.

APPENDIX A: ABBREVIATIONS AND ACRONYMS

AEOR	Authorized Executive Order Regulatory Contact
ARC	Authorized Regulatory Contact
CFR	Code of Federal Regulations
CRA	Congressional Review Act
EO	Executive Order
EORC	Executive Order Regulatory Contact
FAQ	Frequently Asked Question
FR	Federal Register
GPO	Government Printing Office
GSA	General Services Administration
GUI	Graphical User Interface
HTML	Hypertext Markup Language
ICR	Information Collection Request
OGP	Office of Government-wide Policy
OIRA	Office of Information and Regulatory Affairs
O&M	Operations and Maintenance
OMB	Office of Management and Budget
PDF	Portable Document Format
PL	Public Law
PRA	Paperwork Reduction Act
RDEC	Regulatory Data Entry Contact
RIN	Regulation Identifier Number
RISC	Regulatory Information Service Center
ROCIS	RISC/OIRA Consolidated Information System
SGML	Standard Generalized Markup Language
UAM	Unified Agenda Manager

URL	Uniform Resource Locator
USC	United States Code
XML	Extensible Markup Language