



ROCIS.GOV

RISC/OIRA Consolidated Information System

ROCIS PRA Module User Guide

A How To Guide for PRA Module Users

March 2024

Regulatory Information Service Center (RISC)



Revision Log

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User Authentication

User Log In

Point your browser to the [ROCIS website \(www.rocis.gov\)](http://www.rocis.gov) to login to the system.

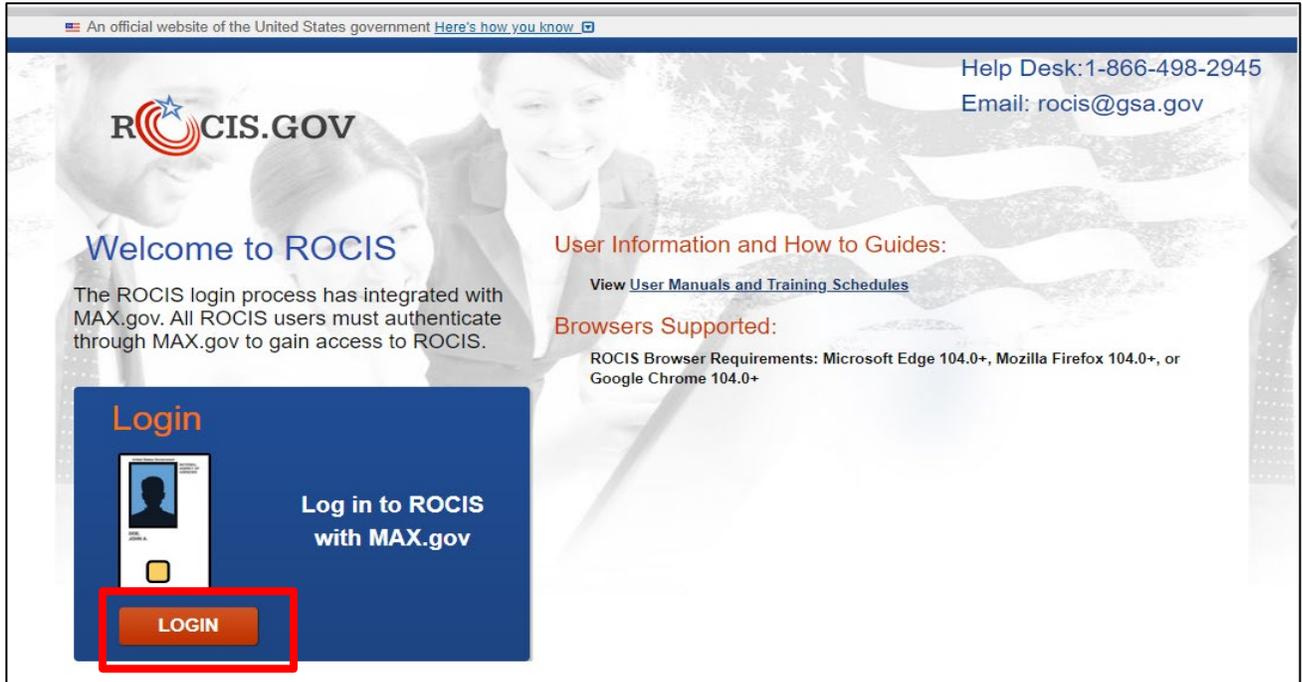


Figure 1.1: ROCIS.gov Website

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



Figure 1.2: MAX.gov Website

Once you have registered on MAX.gov, click the Login button on ROCIS.gov to verify your identity with MAX.gov.

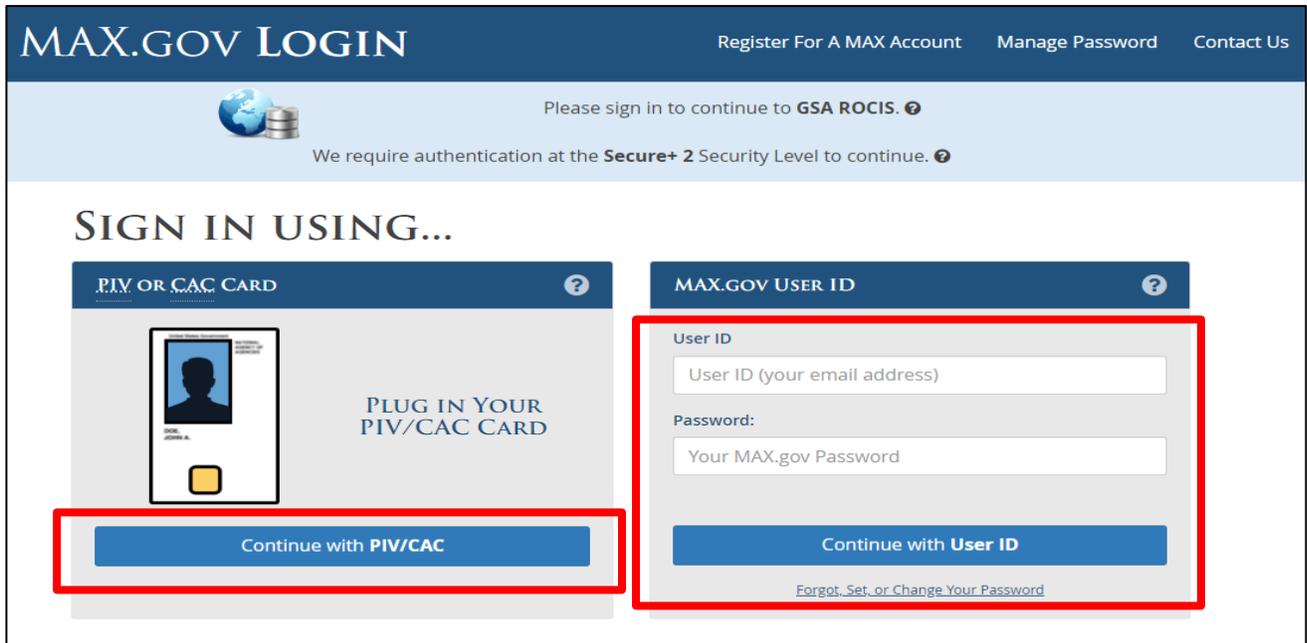


Figure 1.3: MAX.gov Login Screen

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 using an authenticator app on your mobile device.

After successfully logging in to MAX.gov, you will be redirected to ROCIS. Click the arrow for the "PRA" module to begin working in the PRA module or click the arrow on the Admin to access user tools and information.

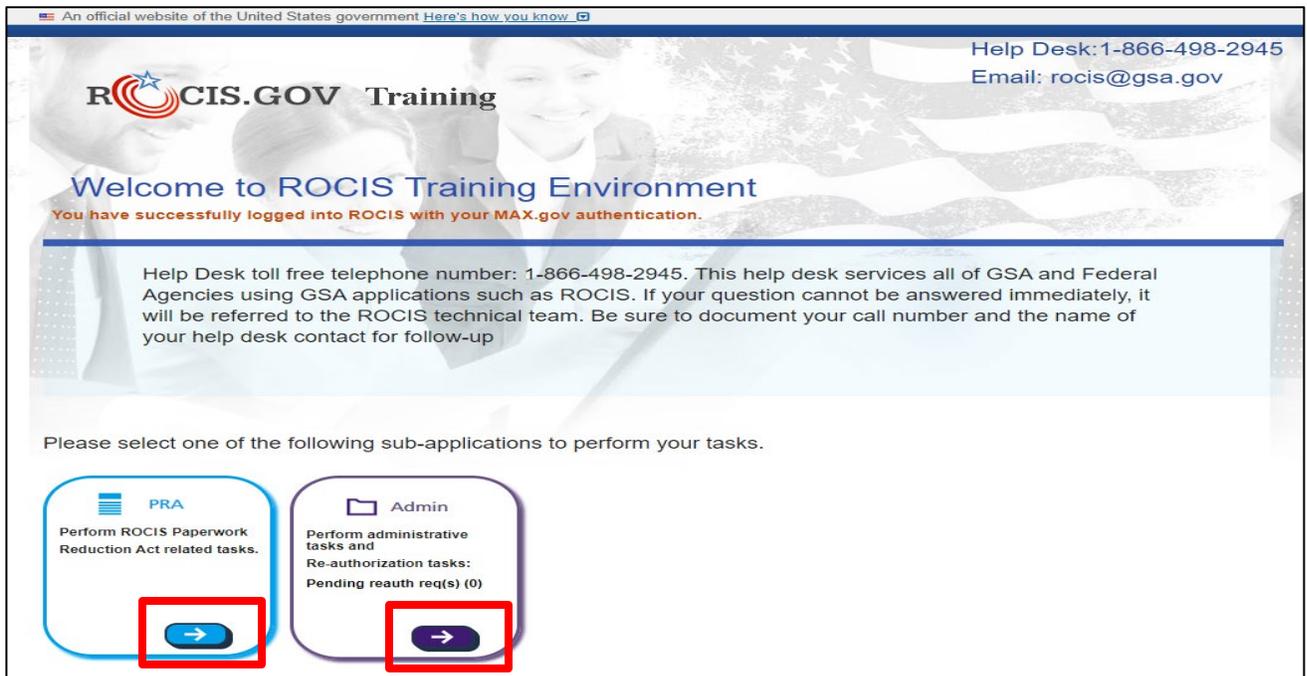


Figure 1.4: ROCIS Landing Page

User Log Out

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

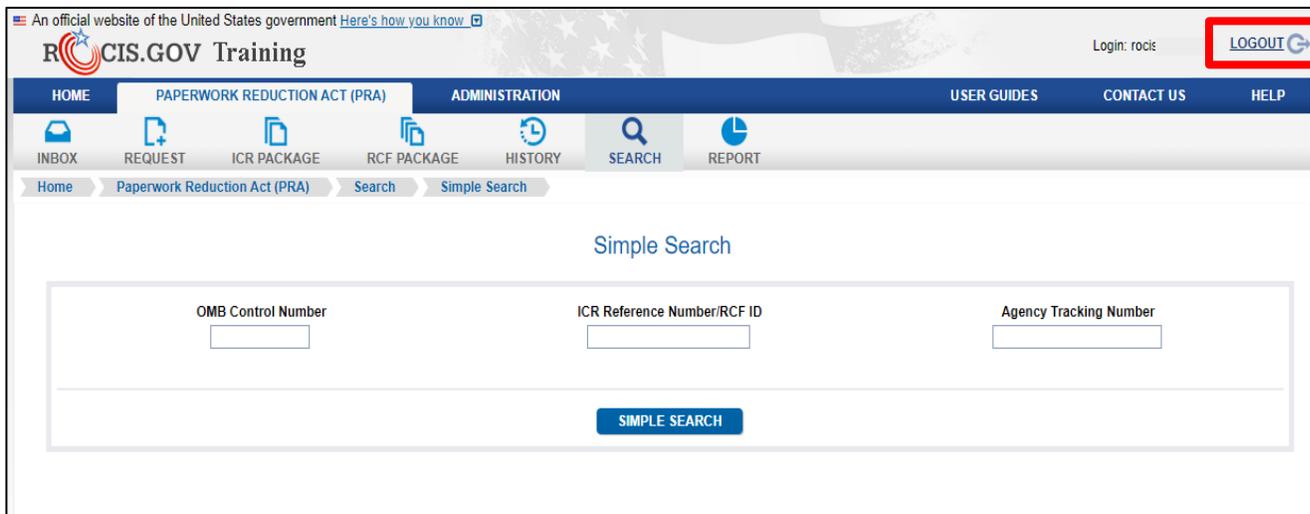


Figure 1.5: Logout Link

Logging out of ROCIS does not automatically log you out of MAX.gov. Your MAX.gov session may still be active which means that you can log back into 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 into ROCIS.

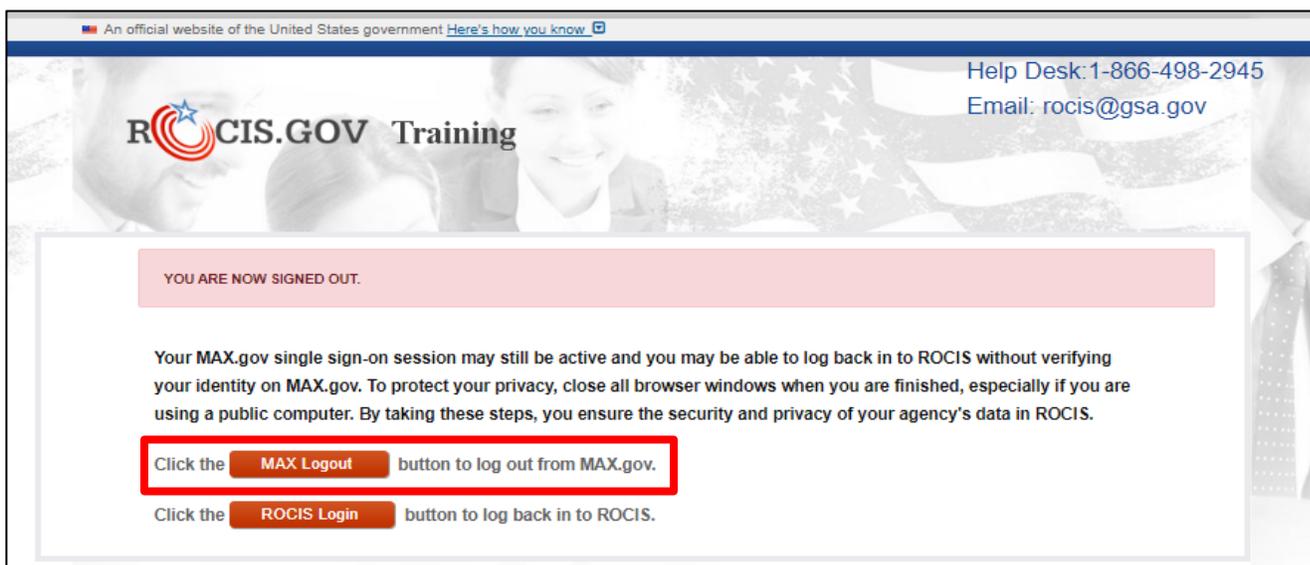


Figure 1.6: Logout Screen

User Information and Tools

User Profile

Take a moment to review your user profile. To do this, 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 contact information.

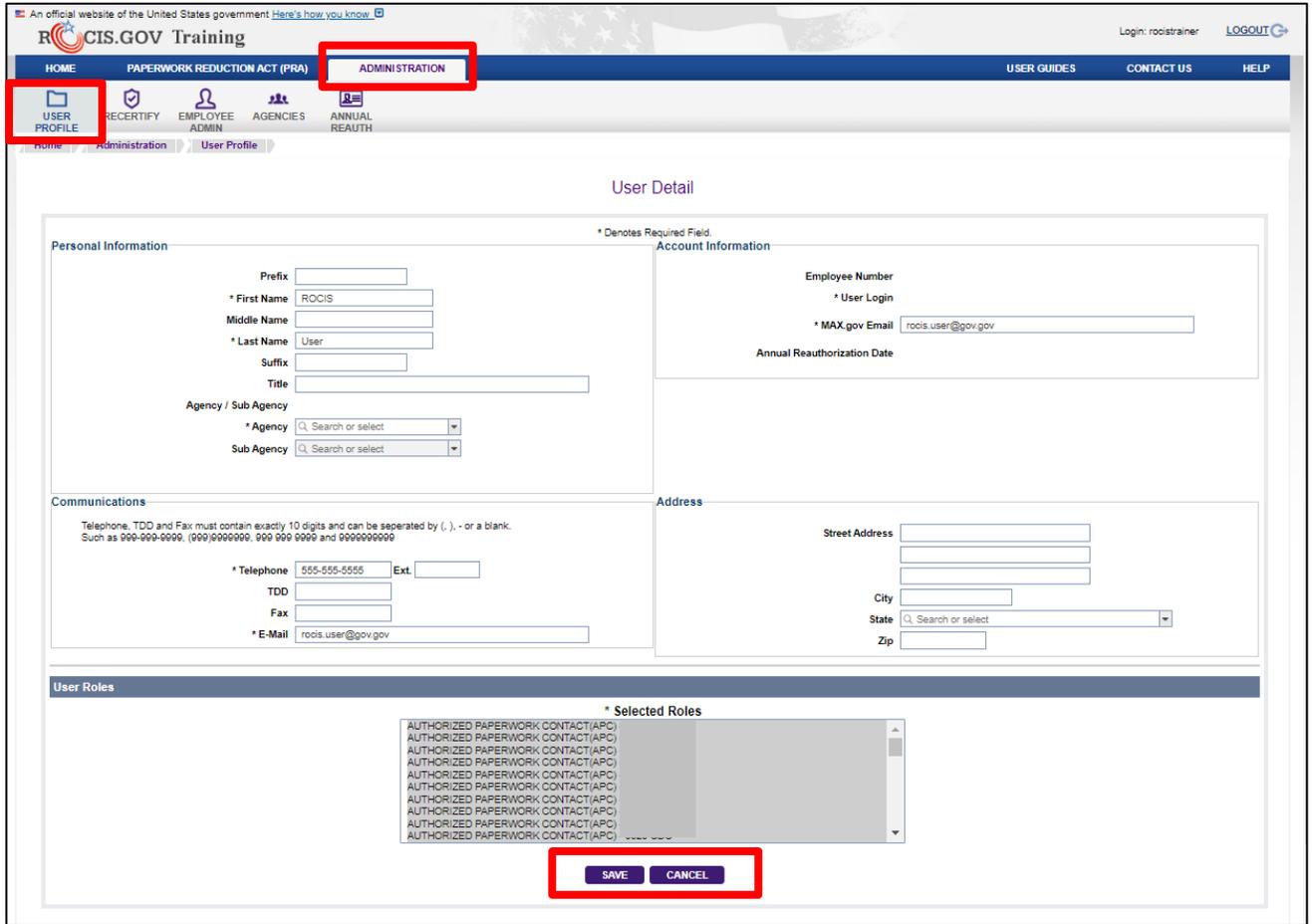


Figure 2.1: User Profile Icon and User Detail Screen

Please verify and make any appropriate changes to your information, paying particular attention to your telephone number and email. To save your changes, click on the 'Save' button located at the bottom of the screen. Remember to update your User Profile 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.

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.

An official website of the United States government [Here's how you know](#)

ROCIS.GOV Training Login: rocistrainer [LOGOUT](#)

HOME PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION USER GUIDES CONTACT US HELP

USER PROFILE RECERTIFY EMPLOYEE ADMIN AGENCIES ANNUAL REAUTH

Home Administration Employee Admin

ROCIS Employee Administration

User ID

Last Name

First Name

Employee Number

Profile Agency

SubAgency

Role

Assigned Role Agency

Assigned Role SubAgency

Search Range:
 Users
 Contacts
 Both Users and Contacts

SEARCH **CREATE A NEW CONTACT**

Agency	Name	Emp No	User ID	Phone Number	Email	Inactivate	Locked
No data available in table							

Showing 0 to 0 of 0 entries First Previous Next Last

Figure 2.2: 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.

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.

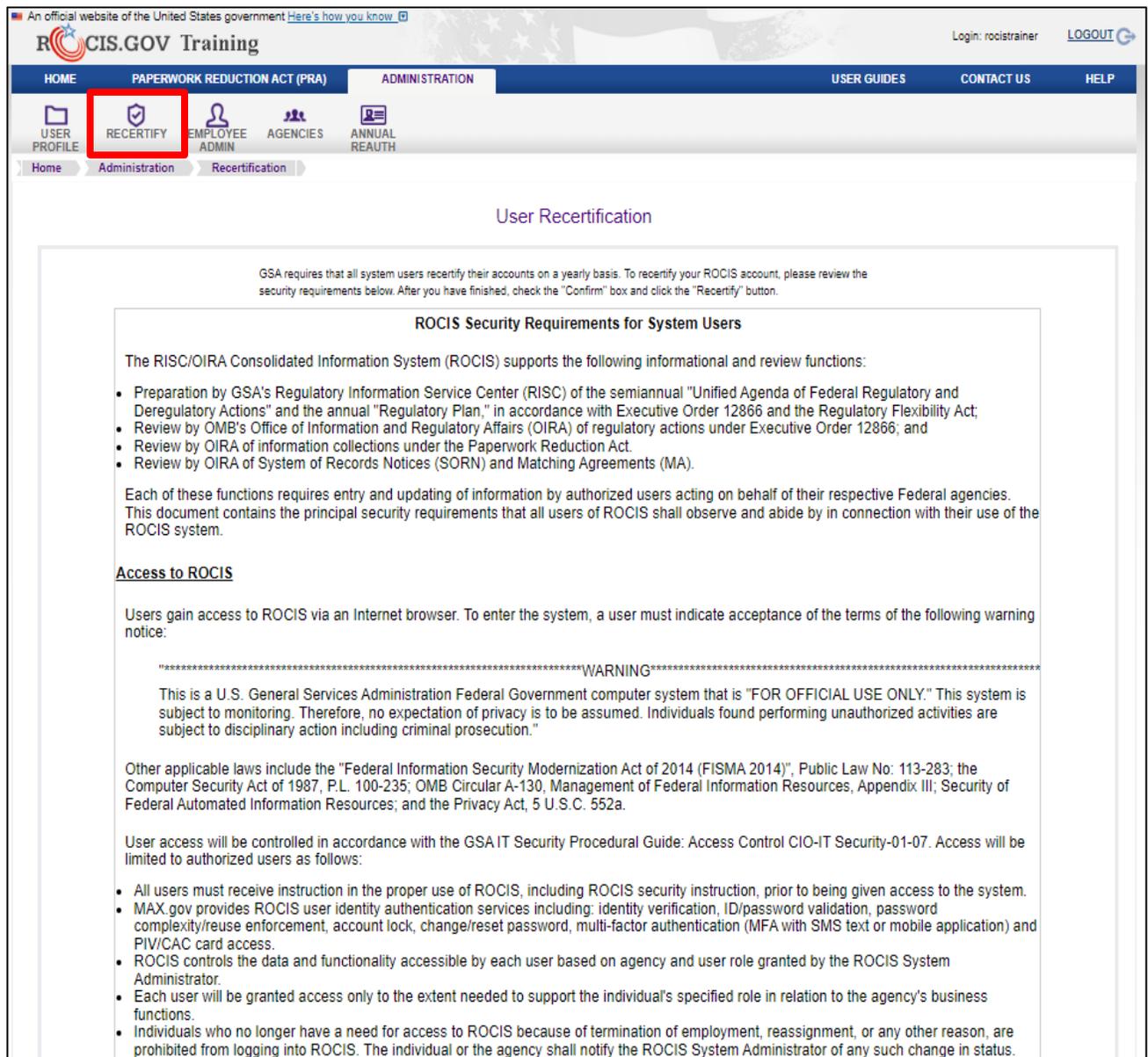


Figure 2.3: Recertification Icon in Administration Toolbar

The latest version of the ROCIS Security Agreement is displayed on the Recertification screen. 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.

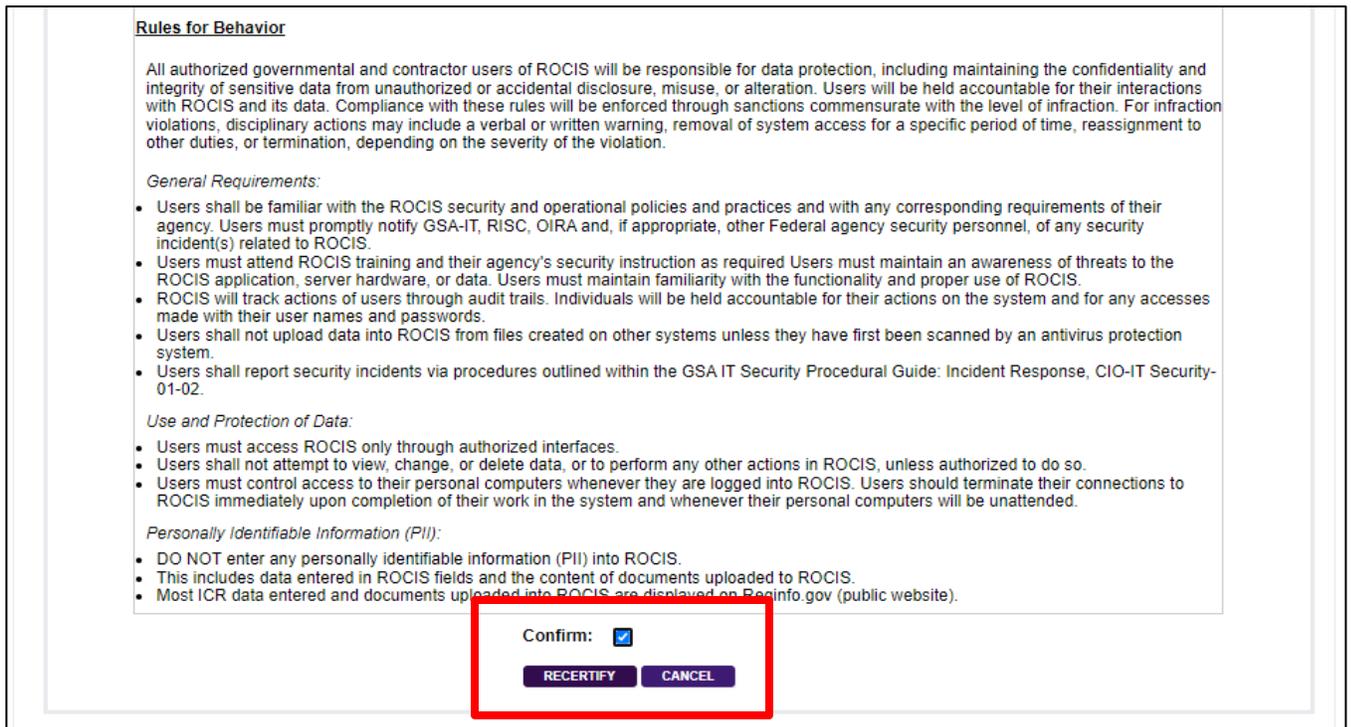


Figure 2.4: User Recertification Screen buttons

After reviewing the page, scroll down to the bottom of the screen and check the "Confirm" box and then click the Recertify button. ROCIS will automatically log you off and once you log back in, your recertification anniversary date will be updated in ROCIS.

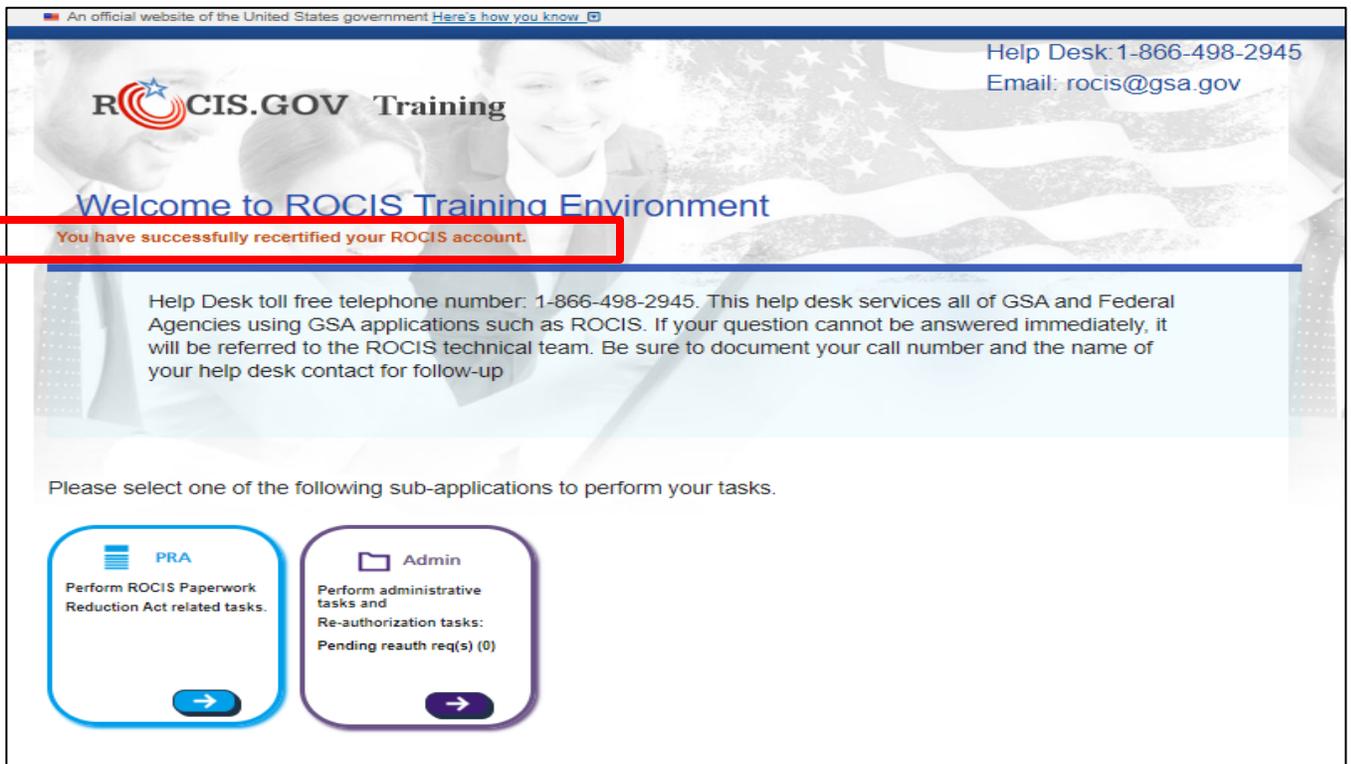


Figure 2.5: Account recertification confirmation message

Reauthorization

Any user acquiring a ROCIS production account must be authorized by their agency. The ROCIS system requires agencies to reauthorize user access every year. Users and authorizers will begin to receive reminders via email 10 days before their annual reauthorization deadline. If a user's account is not reauthorized before the deadline, their ROCIS access will be suspended (i.e., the user can no longer log in to ROCIS). Each email will contain the agency authorizer(s) name, email, and phone number.

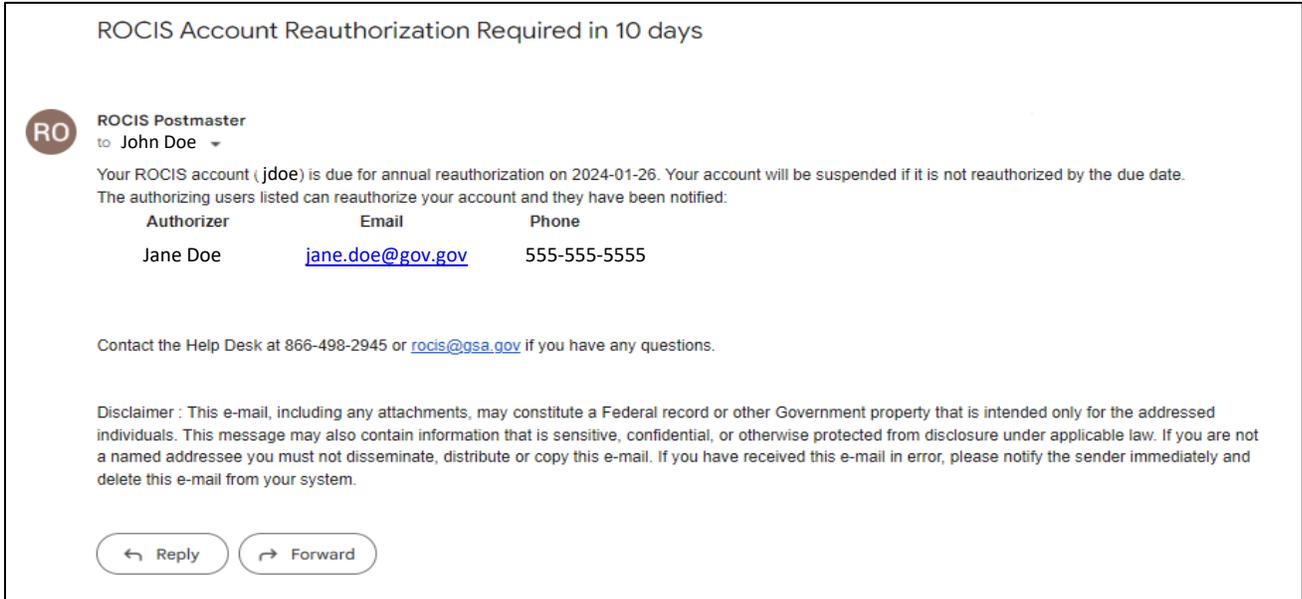


Figure 2.6: Reauthorization Required Email (User)

Authorizers will also receive a daily email notification when there are users who require a reauthorization. This email contains contain the user(s) name, email, and phone number.

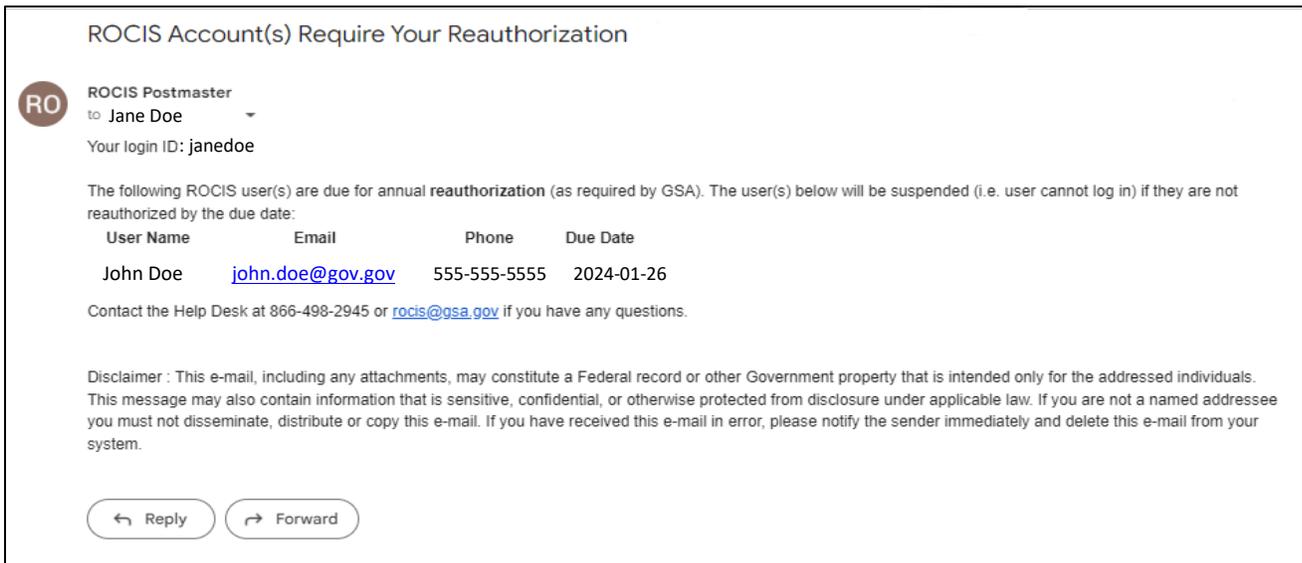


Figure 2.7: Reauthorization Required Email (Authorizer)

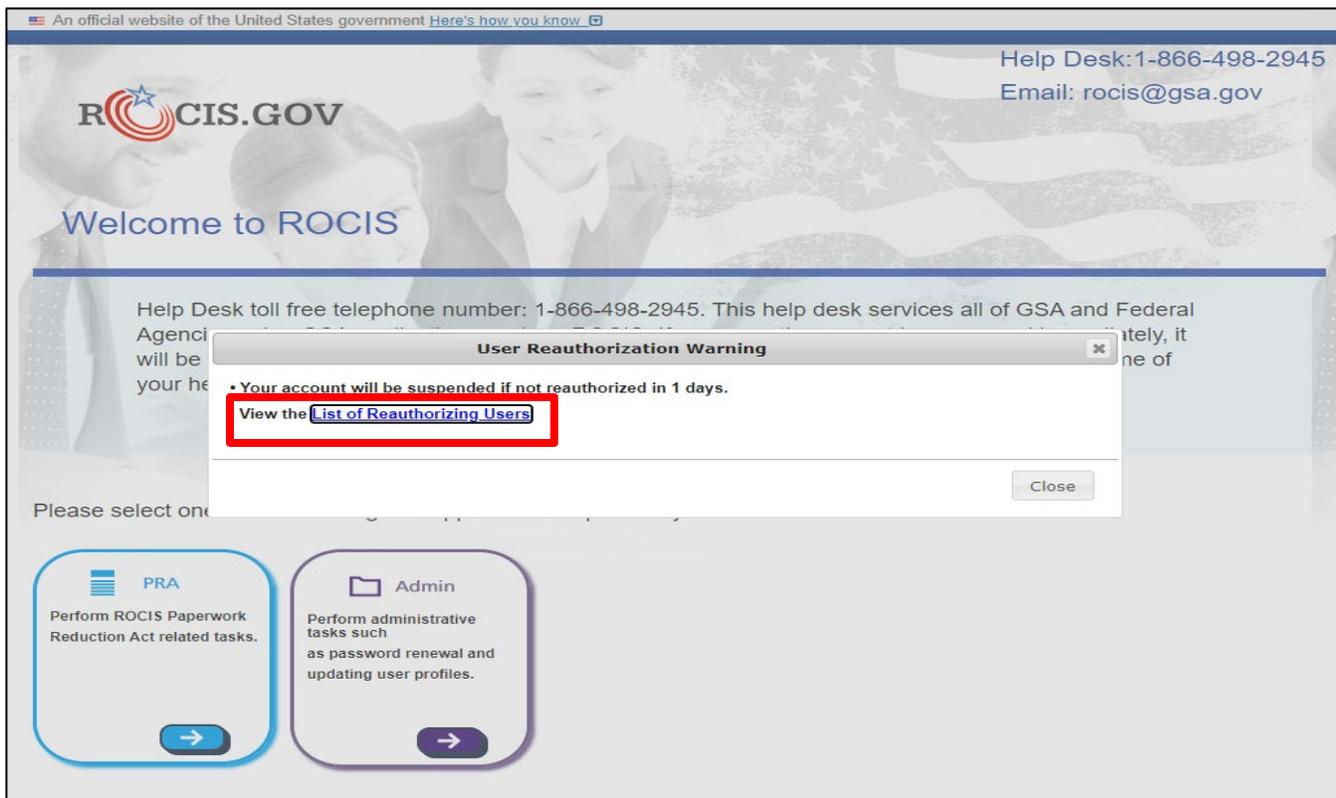


Figure 2.8: User Reauthorization Required Warning

They will also receive daily warning messages after logging into ROCIS. Warning messages will contain a link so that users can view a list authorizers.

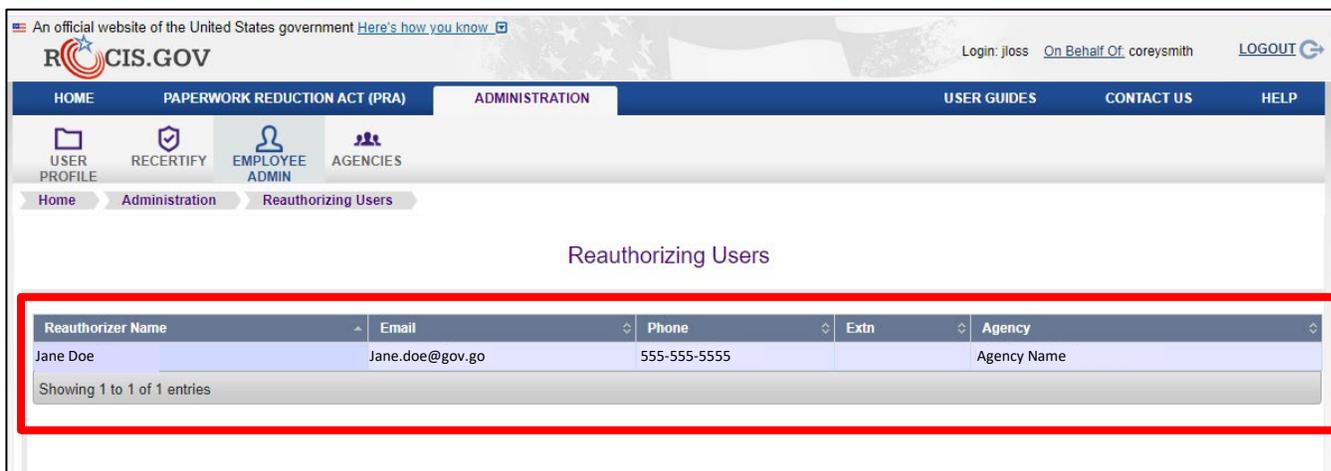


Figure 2.9: Reauthorizing Users page

Users that try to login after their account has been suspended will see a “Login denied” error message and they will be given the contact information for the reauthorizer so they can reach out to them to authorize their access again.

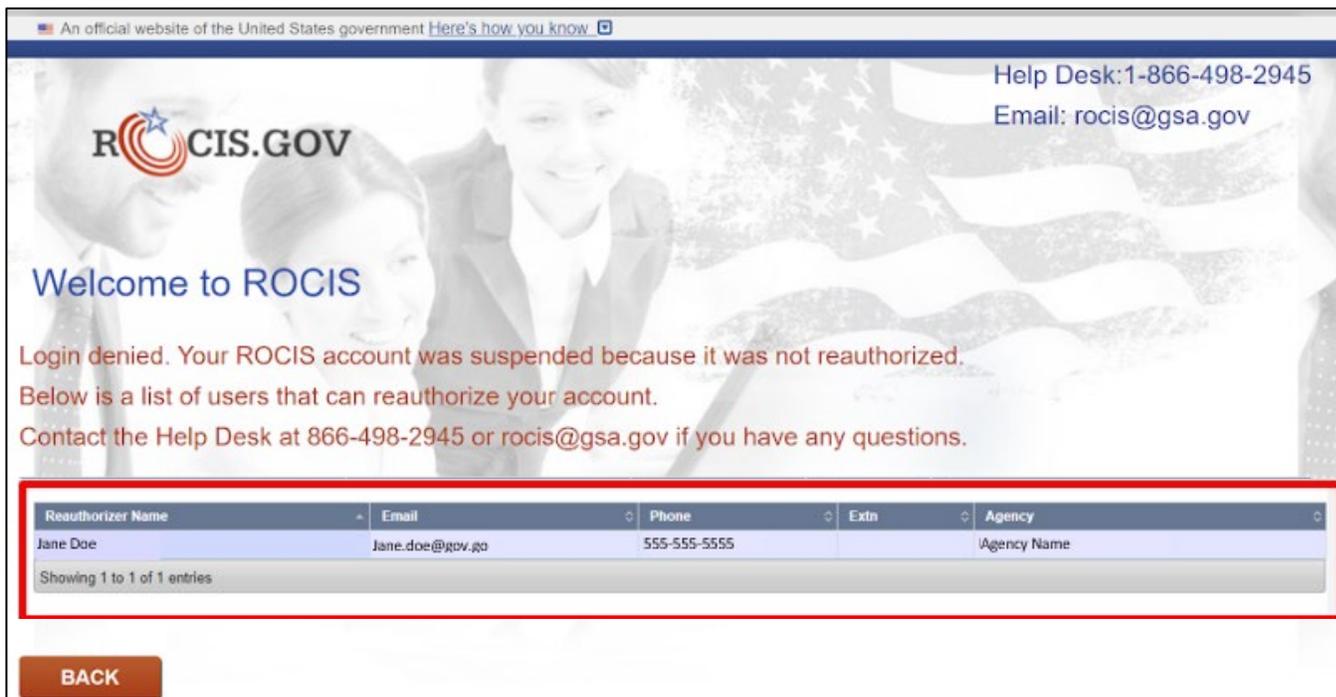


Figure 2.10: Suspended User Login error

Agency authorizers must review ROCIS user access, regularly, to validate that the individual still has a business need for their access. Authorizers will receive daily warnings when there are users that they can reauthorize whose access will be suspended in 10 days or less. They can perform these authorizations by clicking on the link in the warning message or by clicking on the Annual Reauth icon in the Navigation toolbar in the Admin module.

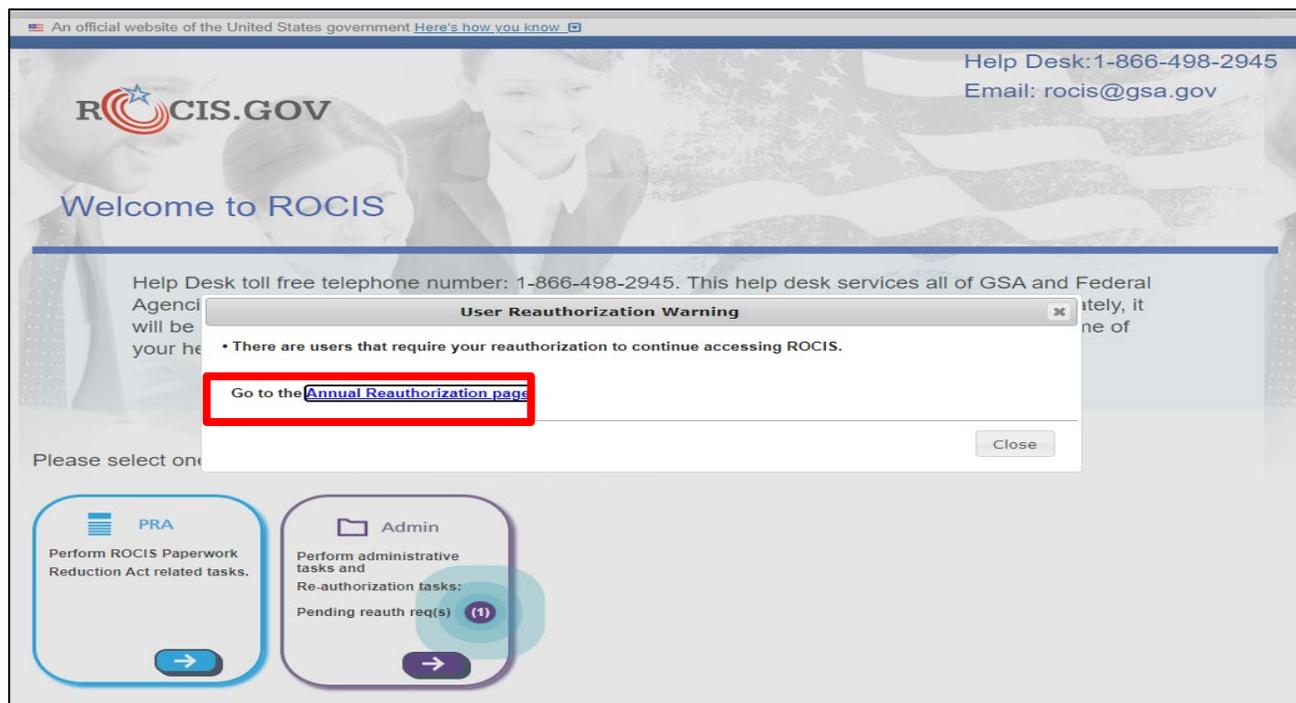


Figure 2.11: User Reauthorization Required Warning (Authorizer)

Only authorizers will have the Annual Reauth button. To reauthorize/decline users, simply click the desired action button at the end of the user's row. To reauthorize/decline multiple users at once, select their row by clicking on the select box and choose the desired action button at the top.

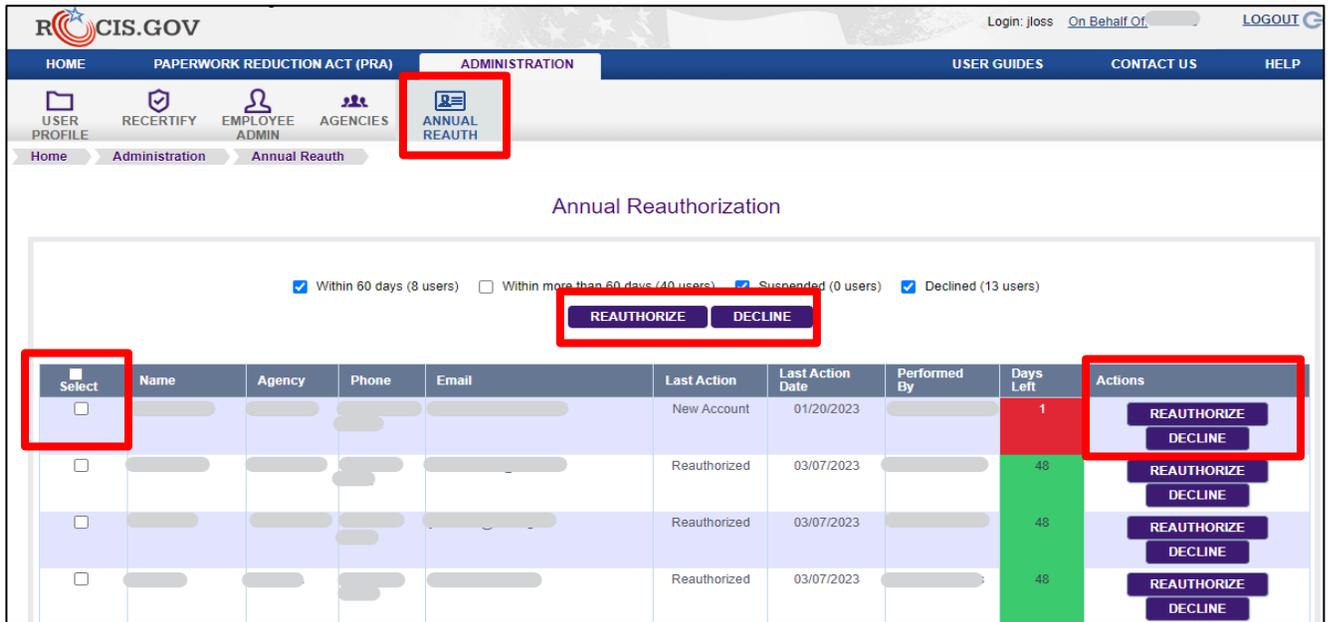


Figure 2.12: User Reauthorization Screen

Navigational Toolbar Icons

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 and icons that work like drop-down menus. Placing your mouse cursor over a tab or icon will allow you 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**.

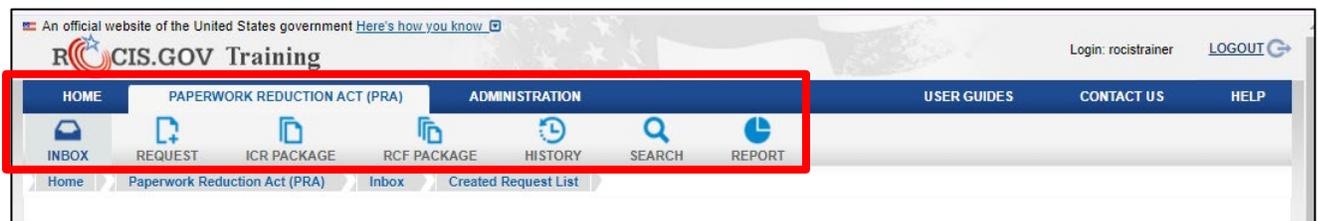


Figure 3.1: Navigation Toolbar

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. Place your mouse cursor over the Inbox icon in the navigation toolbar to access each section below:

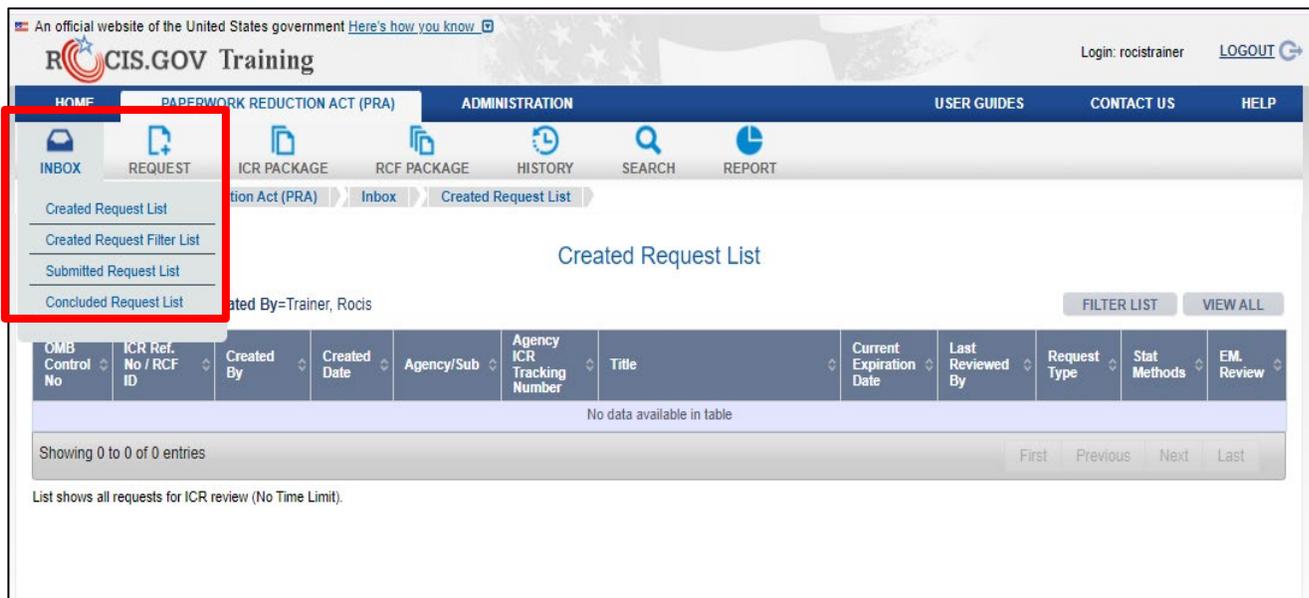


Figure 3.2: Created Request List with Inbox Menu

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).

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.

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

You can sort any list in any column by clicking on the column header. The list of items in the table are already sorted by created date. If you click on the column heading, the column data will be resorted by the column heading you clicked on. Click the same heading 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 are available to filter.

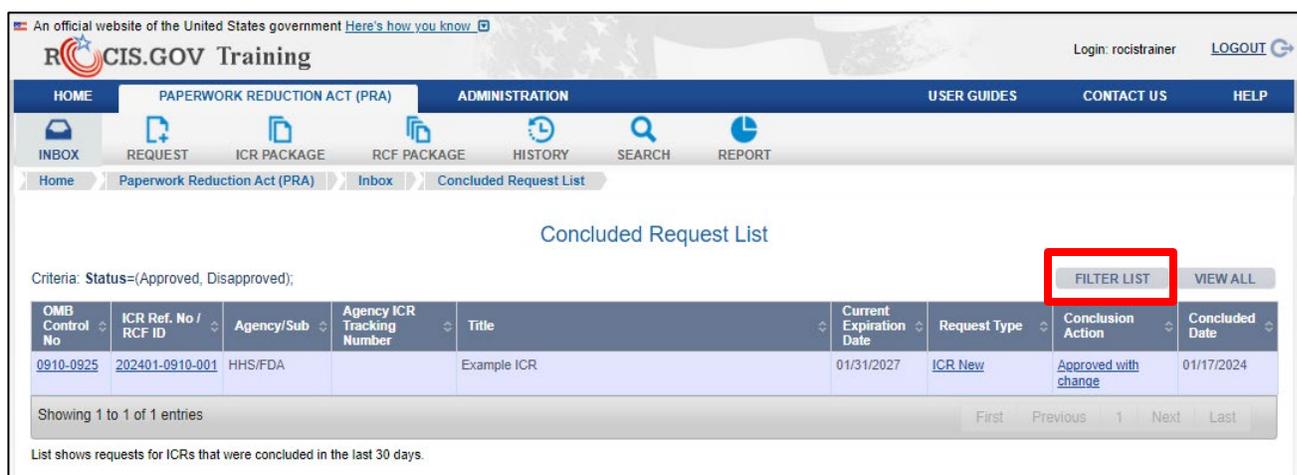


Figure 3.3: Concluded Request List with Filter List Button

For example, you can use the Concluded Request Inbox Filter page to expand the Concluded Request List and display requests concluded in 90 days. Then click Submit to view results.

The screenshot shows the 'Agency Concluded Request List Filter' page. The 'Concluded in' dropdown menu is expanded, showing options: LAST 30 DAYS, LAST 60 DAYS, LAST 90 DAYS (highlighted with a red box), and LAST 180 DAYS. The 'SUBMIT' button at the bottom of the filter form is also highlighted with a red box.

Figure 3.4: Concluded Request List with Filter List Button

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

The screenshot shows the 'Concluded Request List' page. The table displays one entry for an ICR. The 'VIEW ALL' button in the top right corner of the table area is highlighted with a red box.

OMB Control No	ICR Ref. No / RCF ID	Agency/Sub	Agency ICR Tracking Number	Title	Current Expiration Date	Request Type	Conclusion Action	Concluded Date
0910-0925	202401-0910-001	HHS/FDA		Example ICR	01/31/2027	ICR New	Approved with change	01/17/2024

Showing 1 to 1 of 1 entries

List shows requests for ICRs that were concluded in the last 30 days.

Figure 3.5: Concluded Request List with Filter List Button

Creating an ICR Package

There are three ways to create an ICR Package:

1. By using the Request icon box to select the type of request.

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

Place your mouse over the Request icon and click on Information Collection Request (ICR).

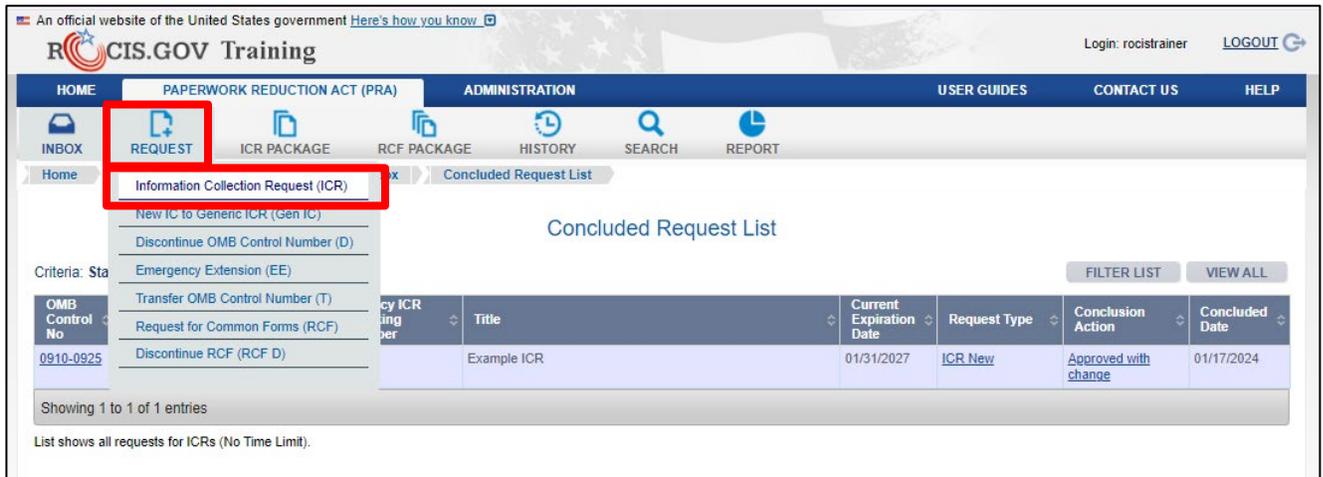


Figure 4.1: Request icon with Drop Down to Create a new ICR

Once you click on this option, you will be directed to the Create New ICR Package page.

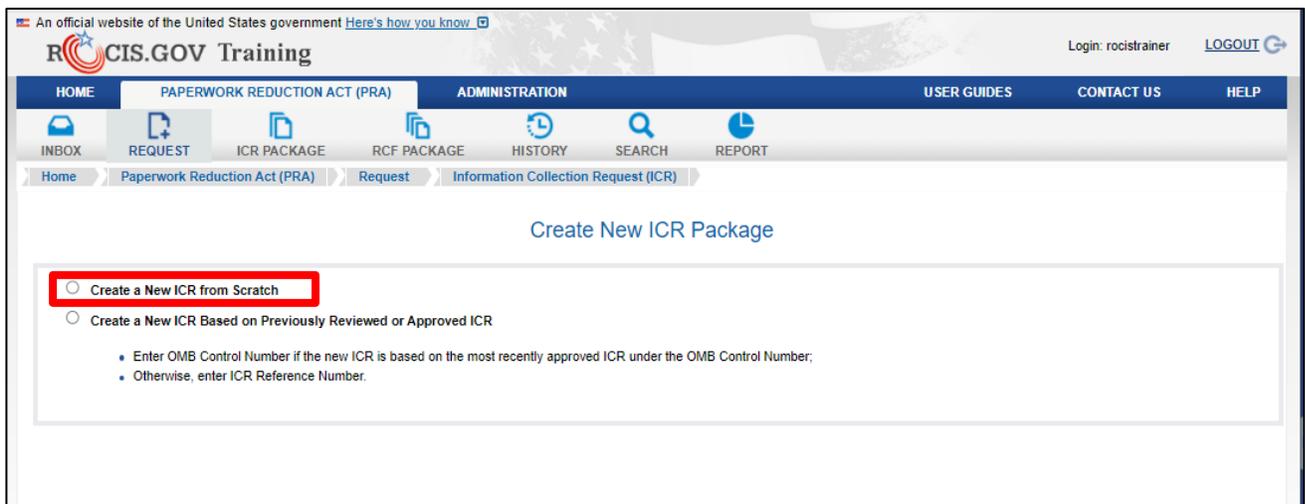


Figure 4.2: Create New ICR Package page

To create a new ICR that has no existing OMB Control Number (or previously begun ICR Package), select the first option, “Create a New ICR from Scratch.” Once you click on the first option, you will have to identify the Agency, Sub Agency, Title and Abstract of a new ICR and answer the two questions about the type of ICR, “Will this ICR Sponsor a Common Form?” (would your agency like to share the ICR with other agencies so they can create RCFs, see Request for Common Form) and “Will this ICR be generic?” (choose this if the ICR will be a generic ICR, see generic ICR).

Finally, click the Create button to generate the new ICR and go to the Edit ICR page.

An official website of the United States government [Here's how you know](#)

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INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home Paperwork Reduction Act (PRA) Request Information Collection Request (ICR)

Create New ICR Package

Create a New ICR from Scratch

* Agency

Sub Agency

Will this ICR sponsor common form(s) ?

Will this ICR be generic ?

* Title

* Abstract

Create a New ICR Based on Previously Reviewed or Approved ICR

- Enter OMB Control Number if the new ICR is based on the most recently approved ICR under the OMB Control Number;
- Otherwise, enter ICR Reference Number.

Figure 4.3: Create a New ICR from Scratch option

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.

If an OMB Control Number already exists, choose option 2.

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HOME PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION USER GUIDES CONTACT US HELP

INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home Paperwork Reduction Act (PRA) Request Information Collection Request (ICR)

Create New ICR Package

Create a New ICR from Scratch
 Create a New ICR Based on Previously Reviewed or Approved ICR

- Enter OMB Control Number if the new ICR is based on the most recently approved ICR under the OMB Control Number;
- Otherwise, enter ICR Reference Number.

Will this ICR sponsor common form(s) ?

Will this ICR be generic ?

OMB Control Number: -

Or

ICR Reference Number: - -

[CREATE](#) [CANCEL](#)

Figure 4.4: Create a New ICR Based on Previously Reviewed or Approved ICR option

Once you click on the second option, you will have to identify the OMB Control Number or most recently reviewed ICR under the OMB Control Number to create an ICR.

Then answer the two questions about the type of ICR, “Will this ICR Sponsor a Common Form?” (would your agency like to share the ICR with other agencies so they can create RCFs, see “Request for Common Form”) and “Will this ICR be generic?” (choose this if the ICR will be a generic ICR, see generic 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.

Finally, click the Create button to go to the Edit ICR page.

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HOME PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION USER GUIDES CONTACT US HELP

INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home Paperwork Reduction Act (PRA) Request Information Collection Request (ICR)

Create New ICR Package

Create a New ICR from Scratch

Create a New ICR Based on Previously Reviewed or Approved ICR

- Enter OMB Control Number if the new ICR is based on the most recently approved ICR under the OMB Control Number;
- Otherwise, enter ICR Reference Number.

Will this ICR sponsor common form(s) ?

Will this ICR be generic ?

OMB Control Number: -

Or

ICR Reference Number: - -

[CREATE](#) [CANCEL](#)

Figure 4.5: Create New ICR Package from a Previously Reviewed or Approved ICR

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.

Create an ICR from a Previously Reviewed ICR

You can create an ICR from a previously reviewed ICR by going to the current Concluded inbox and clicking on the desired ICR number after filtering the information. You will have to use the filter in the Concluded inbox because reviews are only maintained in this inbox for 30 days from the conclusion date. To do this, click on the Filter List button from within the Concluded Request List (inbox).

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HOME PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION USER GUIDES CONTACT US HELP

INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home Paperwork Reduction Act (PRA) Inbox Concluded Request List

Concluded Request List

Criteria: Status=(Approved, Disapproved);

[FILTER LIST](#) [VIEW ALL](#)

OMB Control No	ICR Ref. No / RCF ID	Agency/Sub	Agency ICR Tracking Number	Title	Current Expiration Date	Request Type	Conclusion Action	Concluded Date
0910-0925	202401-0910-001	HHS/FDA		Example ICR	01/31/2027	ICR New	Approved with change	01/17/2024

Showing 1 to 1 of 1 entries

First Previous 1 Next Last

List shows requests for ICRs that were concluded in the last 30 days.

Figure 5.1: Concluded Request List Inbox with Option to Filter

Once you click on the Filter List button, you will be directed to the Agency Concluded Request List Filter. You can filter your requests by listing a date range, choosing a concluded in option (30, 60, 90, or 180 days), agency tracking, OMB, ICR, or RCF number, OMB and more. For example, the filter below is to look for a request that is expiring on February 29, 2024, for a particular sub agency that had a conclusion action of “Approved with change.”

The screenshot shows the 'Agency Concluded Request List Filter' page. The filters are set as follows: Date (empty), Concluded (empty), From (empty), Concluded in (Search or select), Agency ICR Tracking Number (empty), OMB Control No (empty), ICR Reference No (empty), RCF ID (empty), Host ICR (Search o), Current Expiration Date (02/29/2024), Agency (0900 HHS), Sub Agency (0920 CDC), Title (empty), Request Type (Search or select), and Conclusion Action (Approved with change). A red box highlights the 'SUBMIT' button.

Figure 5.2: Agency Concluded Request List Filter

After you click Submit on the filter page, it will take you back to the Concluded Request List and show you the results. To view the ICR, click on either on the ICR Ref number or on the Request Type. This will take you to the OIRA conclusion screen.

The screenshot shows the 'Concluded Request List' page. The criteria are: Status=(Approved, Disapproved); Current Expiration Date=02/29/2024; Agency=0900 HHS; Sub Agency=0920 CDC; Conclusion Action=Approved with change. The table below shows the results:

OMB Control No	ICR Ref. No / RCF ID	Agency/Sub	Agency ICR Tracking Number	Title	Current Expiration Date	Request Type	Conclusion Action	Concluded Date
0920-1325	202103-0920-011	HHS/CDC	0920-21EF		02/29/2024	ICR Chg	Approved with change	04/09/2021
0920-1324	202007-0920-007	HHS/CDC	0920-20JC		02/29/2024	ICR New	Approved with change	02/12/2021

Showing 1 to 2 of 2 entries. List shows all requests for ICRs (No Time Limit).

Figure 5.3: Agency Concluded Request Inbox with Links to View ICR

After reviewing, click on the Create ICR Package button at the bottom of the screen.

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HOME PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION USER GUIDES CONTACT US HELP

INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home > Paperwork Reduction Act (PRA) > ICR Package > Concluded ICR Package > ICR Data

View ICR - OIRA Conclusion

[View Information Collection \(IC\) List](#) [View Supporting Statement and Other Documents](#) [Expand All](#)

BRIEF AND OIRA CONCLUSION

OMB Control No: 0920-1324 ICR Reference No: 202007-0920-007
Status: Active Previous ICR Reference No:
Agency/Subagency: HHS/CDC Agency Tracking No: 0920-20JC
Title: Delta Impact Cooperative Agreement Evaluation data collection Instruments
Type of Information Collection: New collection (Request for a new OMB Control Number)
Type of Review Request: Regular
OIRA Conclusion Action: Approved with change Conclusion Date: 02/12/2021
[Retrieve Notice of Action \(NOA\)](#) Date Received in OIRA: 08/06/2020
Terms of Clearance: CDC shall modify the PRA disclosure statements to note that response to the collection is voluntary (5 CFR 1320.8(b)(3)(iv)) and the nature and extent of confidentiality to be provided, if any (citing authority if confidentiality is being pledged) (5 CFR 1320.8(b)(3)(v)).

	Inventory as of this action	Requested	Previously Approved
Expiration Date	02/29/2024	36 Months From Approved	
Responses	57	57	0
Time Burden (Hours)	47	47	0
Cost Burden (Dollars)	0	0	0

- ABSTRACT/JUSTIFICATION
- LEGAL STATUTES
- RULEMAKING
- FR NOTICES / COMMENTS
- IC LIST
- BURDEN
- MISC.
- COMMON FORM INFO.
- CERTIFICATION

EMERGENCY EXTENSION (EE) DISCONTINUE (D) TRANSFER (T) **CREATE ICR PACKAGE** PRINT TO PDF

Figure 5.4: View ICR Screen with Options to View Additional Data and Create ICR Package

Create an ICR Using Simple Search (OMB Control Number)

You can create an ICR from first searching for an OMB, ICR, RCF, or Agency Tracking number by clicking on the Search icon and then clicking on Simple Search. For example, if you put in an OMB number and click the Simple Search button, the next screen will be the OMB Control Number History for the number you are searching for.

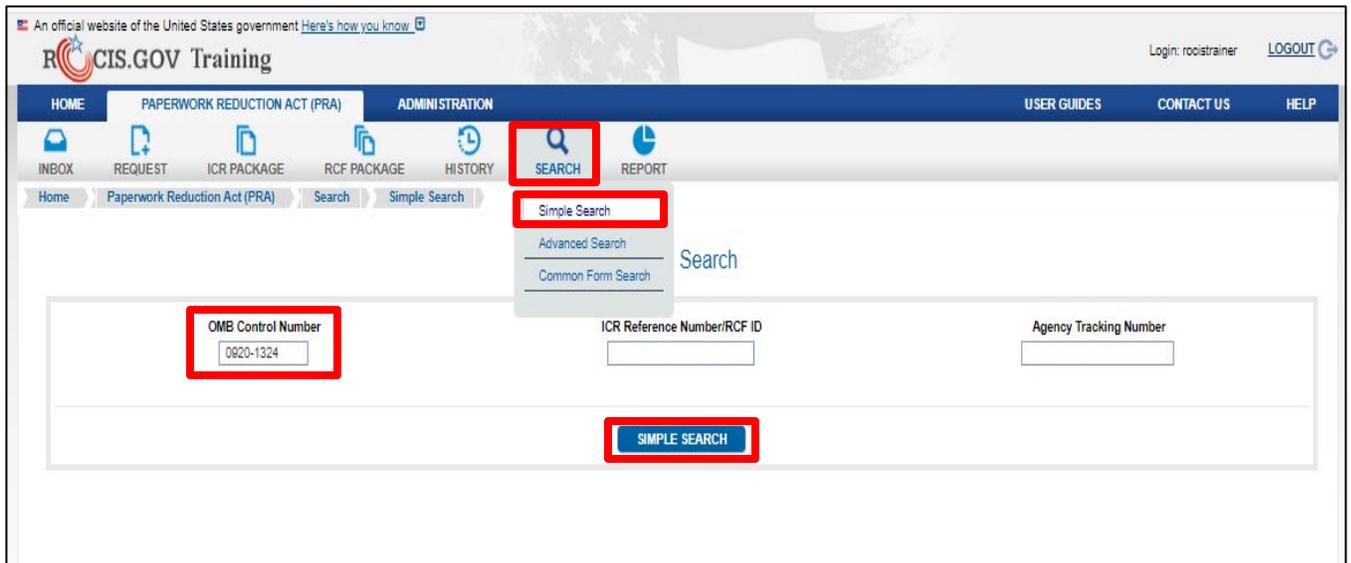


Figure 6.1: Simple Search Screen with OMB Control Number Criteria

On the OMB Control Number History page, locate 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).

Note: Change requests must always be based on the active (currently approved) ICR.

Here is the result of the search completed above:

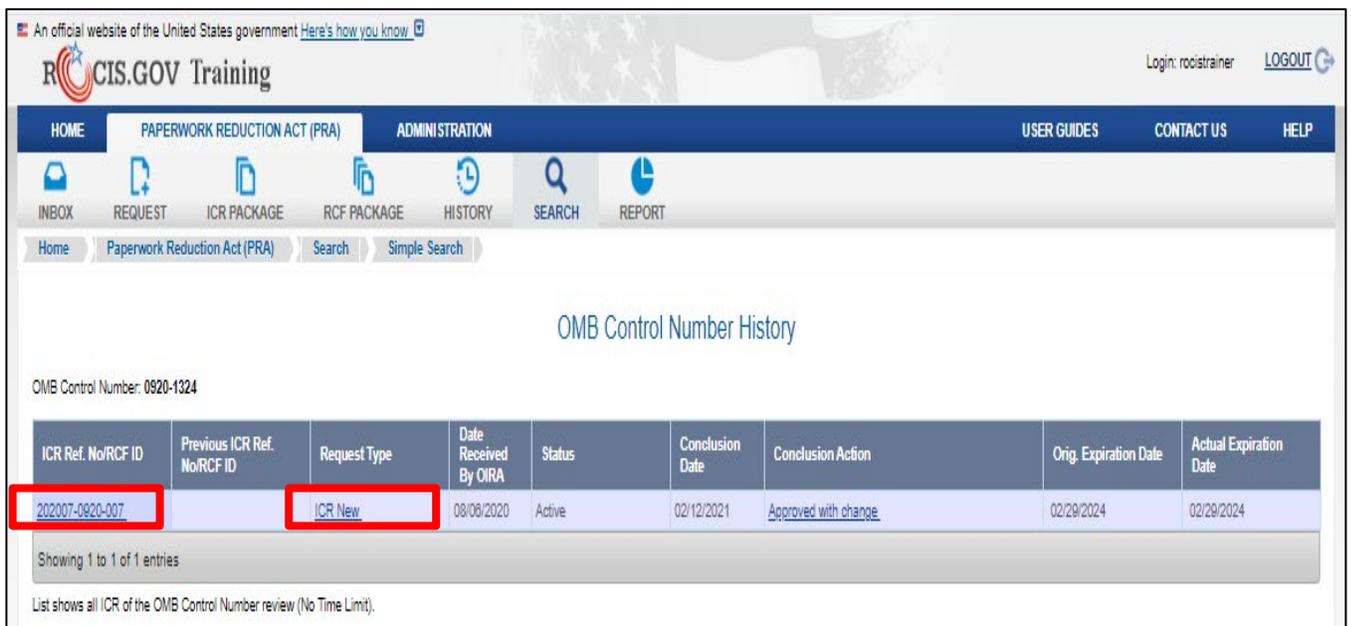


Figure 6.2: OMB Control Number History Screen

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.

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INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home Paperwork Reduction Act (PRA) ICR Package Concluded ICR Package ICR Data

View ICR - OIRA Conclusion

[View Information Collection \(IC\) List](#) [View Supporting Statement and Other Documents](#) [Expand All](#)

BRIEF AND OIRA CONCLUSION

OMB Control No: 0920-1324
 Status: Active
 Agency/Subagency: HHS/CDC
 Title: Delta Impact Cooperative Agreement Evaluation data collection Instruments
 Type of Information Collection: New collection (Request for a new OMB Control Number)
 Type of Review Request: Regular
 OIRA Conclusion Action: Approved with change
 Retrieve Notice of Action (NOA)
 Terms of Clearance: CDC shall modify the PRA disclosure statements to note that response to the collection is voluntary (5 CFR 1320.8(b)(3)(v)) and the nature and extent of confidentiality to be provided, if any (citing authority if confidentiality is being pledged) (5 CFR 1320.8(b)(3)(v)).

ICR Reference No: 202007-0920-007
 Previous ICR Reference No:
 Agency Tracking No: 0920-20JC

Conclusion Date: 02/12/2021
 Date Received in OIRA: 08/06/2020

	Inventory as of this action	Requested	Previously Approved
Expiration Date	02/29/2024	36 Months From Approved	
Responses	57	57	0
Time Burden (Hours)	47	47	0
Cost Burden (Dollars)	0	0	0

ABSTRACT/JUSTIFICATION
 LEGAL STATUTES
 RULEMAKING
 FR NOTICES / COMMENTS
 IC LIST
 BURDEN
 MISC.
 COMMON FORM INFO.
 CERTIFICATION

EMERGENCY EXTENSION (EE) DISCONTINUE (D) TRANSFER (T) **CREATE ICR PACKAGE** PRINT TO PDF

Figure 6.3: View ICR Screen with Option to Create ICR Package

Updating an ICR Package

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

1. ICR Data (equivalent to the former 83I document)
2. 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
3. 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 (former 83C document)
 - Supplemental Documents not fitting the other categories
 - Public Comments
4. ICR Certification (back of former 83I document) signifying adherence to provisions of the PRA

The Edit ICR screen, like the 83I in the paper process, 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.

The screenshot shows the 'Edit ICR' screen in the ROCIS.GOV Training system. The page title is 'Edit ICR'. The main content area is a form titled 'BRIEF' which is highlighted with a red border. The form contains several fields and sections: Agency (0910 FDA), Agency ICR Tracking Number (empty), Title (Example ICR), Type of Information Collection (New collection), Requested Expiration Date, OMB Control Number (202401-0910-002), ICR Reference Number (202401-0910-002), Common Form ICR (No), and Previous ICR Reference Number. Below the form are sections for ABSTRACT, LEGAL STATUTES, RULEMAKING, FR NOTICES / COMMENTS, IC LIST, and BURDEN. At the bottom are buttons for CHECK SPELLING, IC LIST, AGENCY REVIEW, SAVE, CHECK FOR COMPLETENESS, LOCK, SUBMIT, DELETE, CANCEL, and PRINT TO PDF.

Figure 7.1: Edit ICR Screen – Brief introduction section

Completing the Fields on 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

Select 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, the OMB Control Number will appear.

If the information collection in this request has not been assigned an OMB Control Number, the field will remain blank and until it is assigned upon conclusion of the review by OIRA. The format is: **0123-0001**

- Agency/Sub Agency code
- 4-digit sequential number assigned per request.

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-0123-001**

- 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. *Please note there is a 200-character limit.*

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 your explanation of the requested change in Supplemental Documents and 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 Pandemic Response?

If this ICR is related to the [COVID-19] Pandemic Response, select Yes. Otherwise, select No.

13. 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.

14. 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.

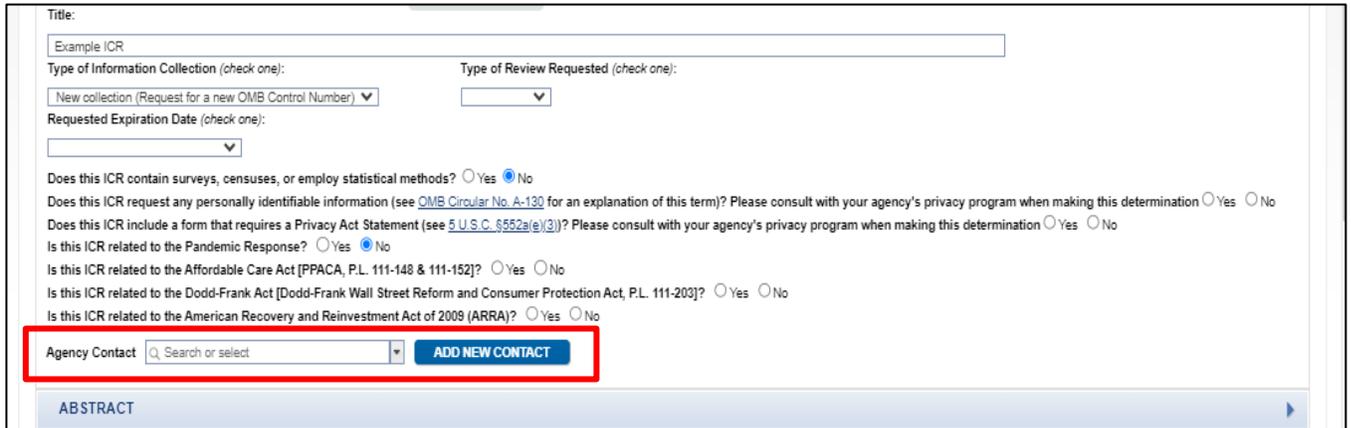
15. Is this ICR related to the American Recovery and Reinvestment Act of 2009? (ARRA)

If this ICR is related to the ARRA, select Yes. Otherwise, select No.

16. Agency Contact

This is the Agency's Point of Contact (POC) that will be able to answer questions regarding the content of this submission. If it is sensitive to having this name published on the Reginfo website, please consider using the name of the agency's Clearance Officer instead.

A drop-down list is provided of persons who were previously listed as agency contacts. If the name of the contact is in the list, select it. If the name of the contact 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 screenshot shows a web form for adding an agency contact. At the top, there is a 'Title' field with 'Example ICR' entered. Below this are two dropdown menus: 'Type of Information Collection (check one):' with 'New collection (Request for a new OMB Control Number)' selected, and 'Type of Review Requested (check one):' with an empty dropdown. A 'Requested Expiration Date (check one):' dropdown is also present. Below these are several radio button questions: 'Does this ICR contain surveys, censuses, or employ statistical methods?' (No selected), 'Does this ICR request any personally identifiable information?' (No selected), 'Does this ICR include a form that requires a Privacy Act Statement?' (No selected), 'Is this ICR related to the Pandemic Response?' (No selected), 'Is this ICR related to the Affordable Care Act [PPACA, P.L. 111-148 & 111-152]?' (No selected), 'Is this ICR related to the Dodd-Frank Act [Dodd-Frank Wall Street Reform and Consumer Protection Act, P.L. 111-203]?' (No selected), and 'Is this ICR related to the American Recovery and Reinvestment Act of 2009 (ARRA)?' (No selected). At the bottom, there is an 'Agency Contact' dropdown menu with a search icon and the text 'Search or select', and a blue 'ADD NEW CONTACT' button. A red rectangular box highlights the 'Agency Contact' dropdown and the 'ADD NEW CONTACT' button. At the very bottom of the form, there is a blue bar with the word 'ABSTRACT' and a right-pointing arrow.

Figure 7.2: Agency Contact – 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.

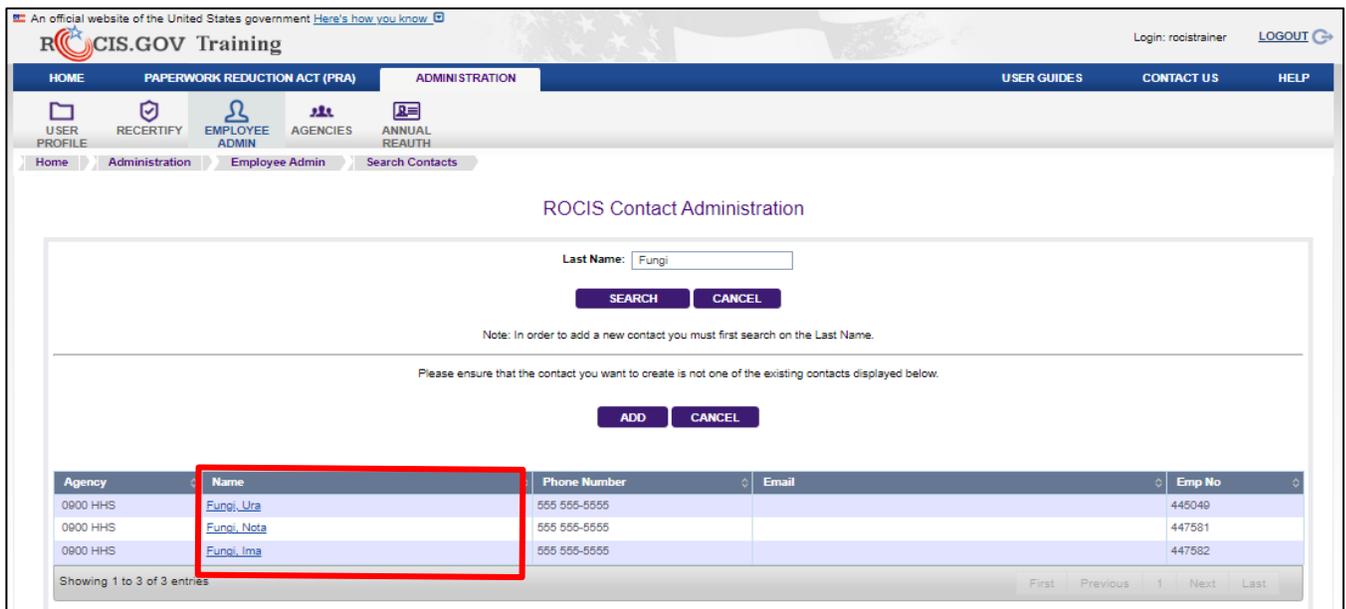


Figure 7.3: Contact Administration Screen - Search

Once you click on a name, ROCIS will take you to the Edit Contact Detail page. This is where you can view the modules they are used as a contact. ROCIS will automatically add the module for you. You only need to review the information and hit the save button. If the information is incorrect or does not match what was given to you, consider adding a new contact from scratch or call the help desk to update the information.

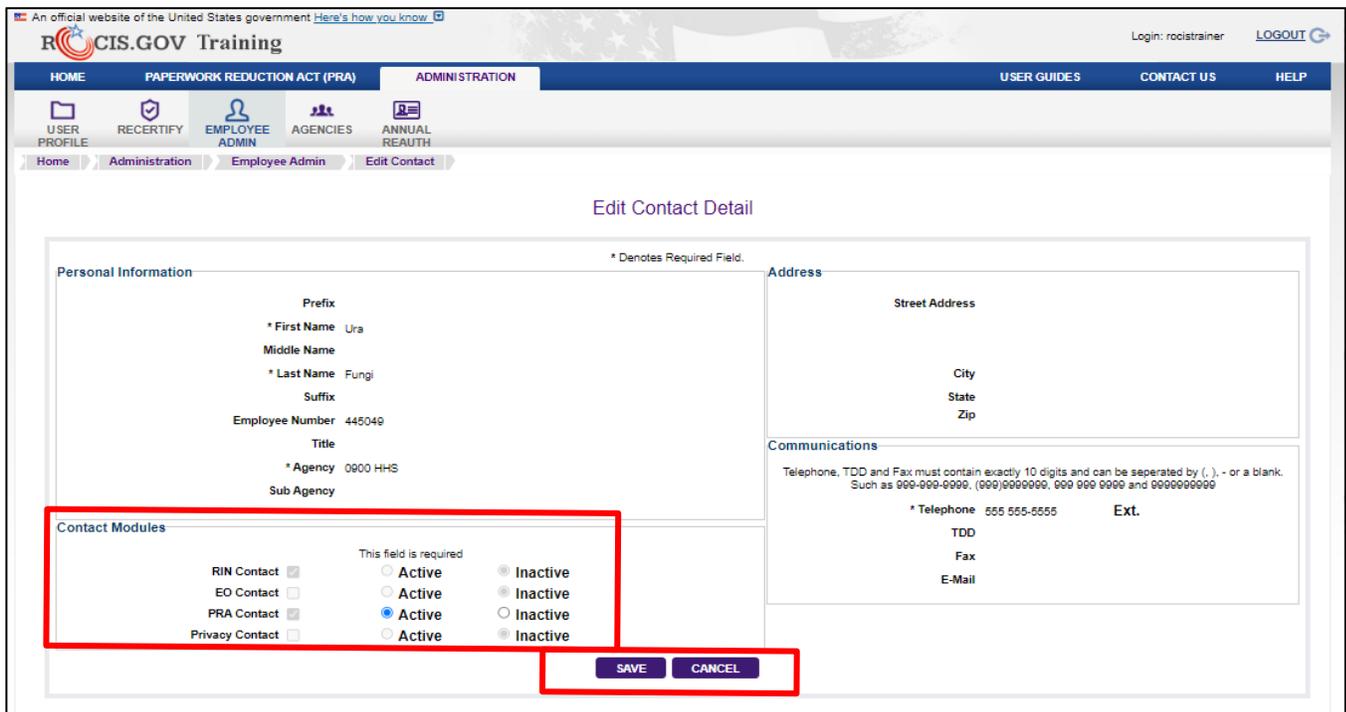


Figure 7.4: Contact Detail Screen

To add the contact to the collection, 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.

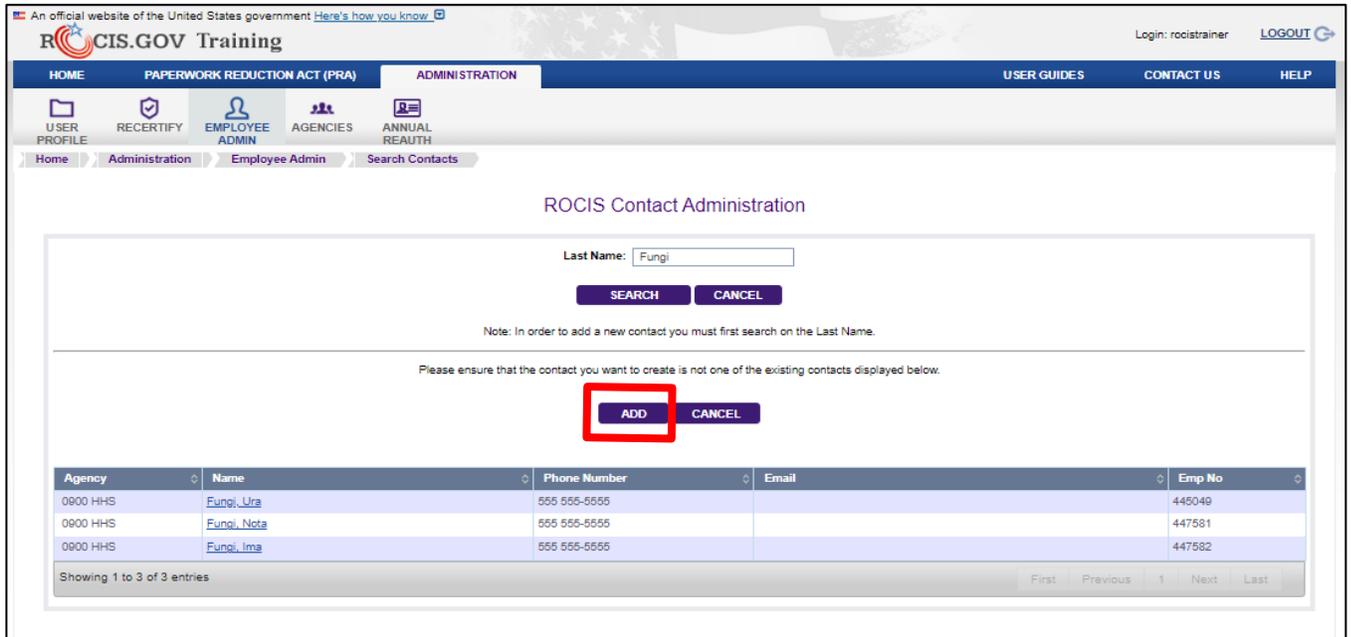


Figure 7.5: Contact Administration Screen with Add Button

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 and then the 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 several sub-agencies.

Please note: If the contact is associated with only 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 the agency and a sub-agency, he will only appear in the drop-down list for that sub-agency.

Once you have all the information in for the contact, you will click the **Create Contact** button at the bottom of the screen.

Figure 7.6: New Contact Detail page – add new data

The new contact will be saved, and you will be returned to the “ICR Data” screen.

17. 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.

Figure 7.7: Edit ICR Screen - Abstract

18. Legal Statutes

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.

The screenshot shows the 'Edit ICR' interface. The 'LEGAL STATUTES' section is highlighted with a red box. It contains a dropdown menu for 'Authorizing Statute(s)', a 'REMOVE' button, and an 'ADD ANOTHER AUTHORIZING STATUTE' button. Other sections include BRIEF, ABSTRACT, RULEMAKING, FR NOTICES / COMMENTS, IC LIST, and BURDEN. A bottom toolbar contains buttons for CHECK SPELLING, IC LIST, AGENCY REVIEW, SAVE, CHECK FOR COMPLETENESS, LOCK, SUBMIT, DELETE, CANCEL, and PRINT TO PDF.

Figure 7.8: Edit ICR Screen - Legal Statutes

19. Rulemaking

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 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 if 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 page. 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 Uploading ICR Documents section.

An ICR associated with a final rule can be submitted for regular review without 60-day or 30-day notices if a previous ICR under the same OMB Control number for the same RIN was concluded as "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 Memo on Good Guidance Practices](#).

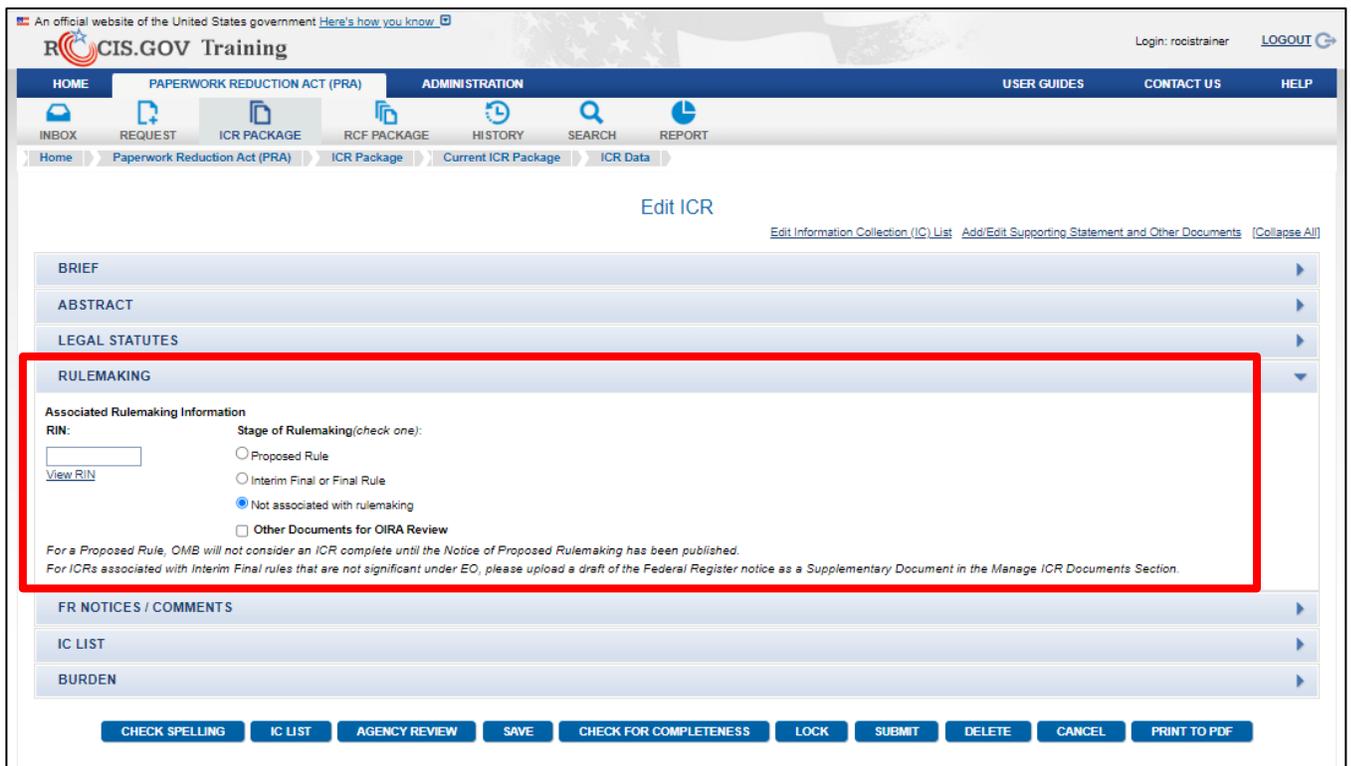


Figure 7.9: Edit ICR Screen- Rulemaking

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.

- **Did the Agency receive public comments on this ICR?**

If comments were not received, select No. If comments were received, select Yes. You will summarize the public comments received and describe actions taken by the agency in response to these comments in the Supporting Statement A document. 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.

Figure 7.10: Edit ICR Screen- FR Notices/Comments

22. Annual Cost to Federal Government

Provide estimated annualized cost to the Federal government, if any, for implementing the collection. In the Supporting Statement A document, 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 dollar (\$) 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.

An official website of the United States government [Here's how you know](#)

ROCIS.GOV Training Login: roctrainer [LOGOUT](#)

HOME PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION USER GUIDES CONTACT US HELP

INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home Paperwork Reduction Act (PRA) ICR Package Current ICR Package ICR Data

Edit ICR [Edit Information Collection \(IC\) List](#) [Add/Edit Supporting Statement and Other Documents](#) [Collapse All](#)

BRIEF

ABSTRACT

LEGAL STATUTES

RULEMAKING

FR NOTICES / COMMENTS

Federal Register Notices & Comments

60-day Notice: Federal Register Citation: Citation Date: Did the Agency receive public comments on this ICR?

30-day Notice: Federal Register Citation: Citation Date: Yes No

Annual Cost to Federal Government: \$

IC LIST

BURDEN

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

Figure 7.11: Edit ICR Screen- Cost to Federal Government

23. Information Collection (IC) List

The first step to creating or editing an IC is to save the ICR Data. To do this, scroll to the bottom and click the **Save** button. This will save all data that you have entered since creating the ICR. You can add an IC a few ways:

- Click on the number “0” in the IC List section on the Edit ICR page.
- Click the **IC List** button at the bottom of the Edit ICR screen.
- Click “Edit Information Collections (IC) List” link at the top of the top of on the Edit ICR screen.
- Place your mouse over the ICR Package icon in the navigation toolbar, then on Current ICR Package, and then click IC List.

Any of these choices will take you to the Add/Edit Information Collection screen. 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.

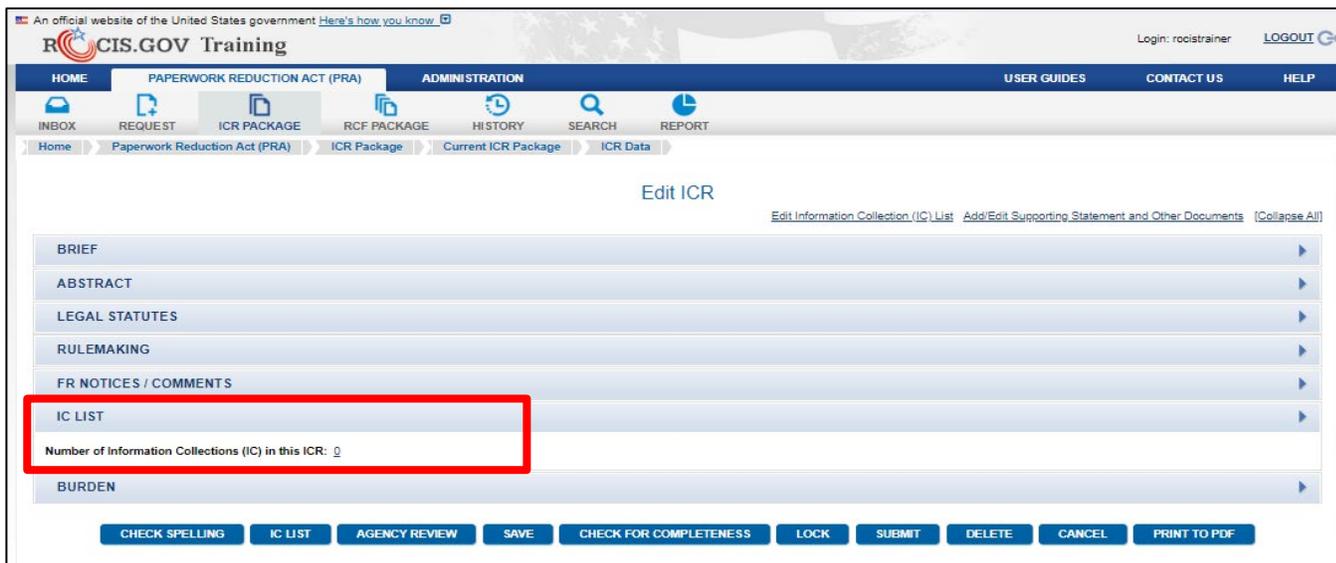


Figure 7.12: Edit ICR Screen- IC List

24. Summary of Burden

Burden is accounted for at the IC level; that is, per collection, whether one collection or multiple collections within one ICR. 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 page.

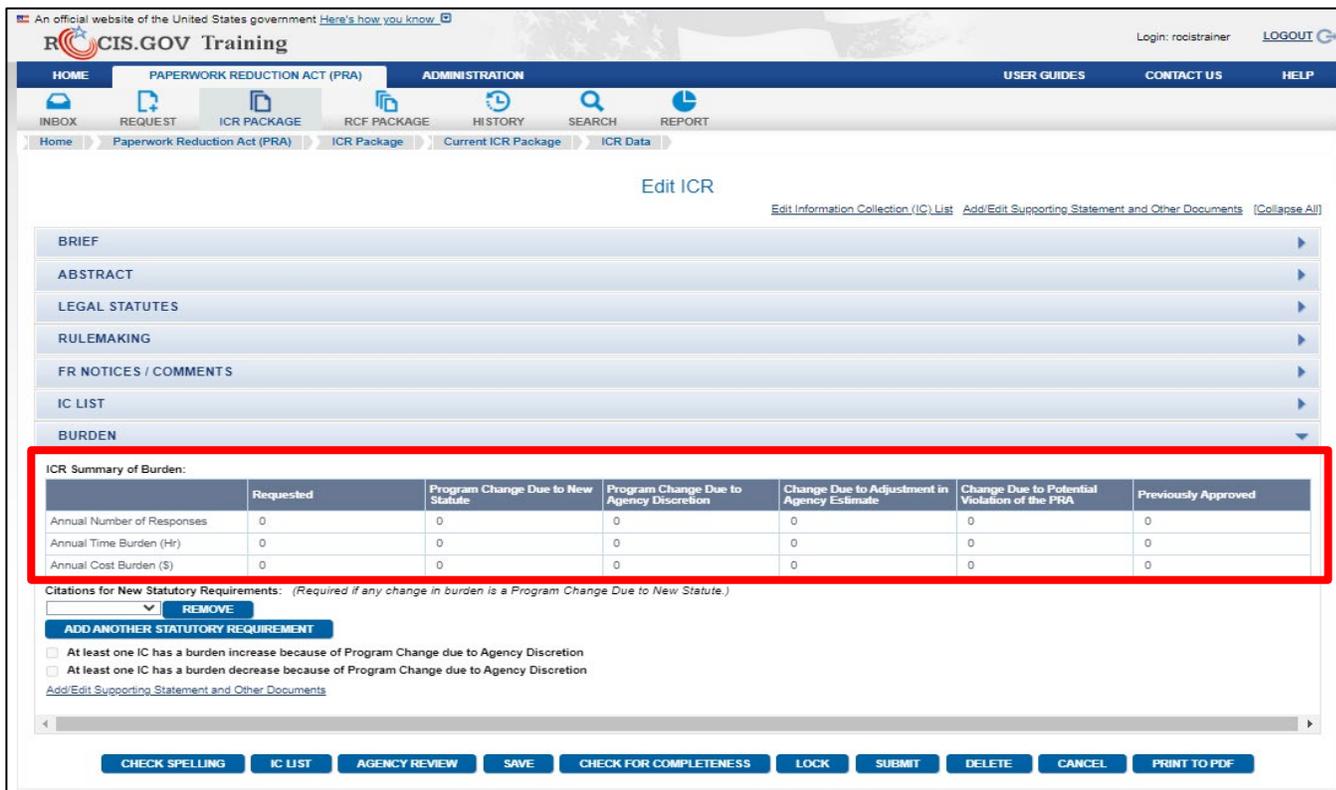


Figure 7.13: Edit ICR Screen- Summary of Burden

Creating an Information Collection

When adding new ICs, you will need to choose the Add IC button on the Add/Edit Information Collections screen.

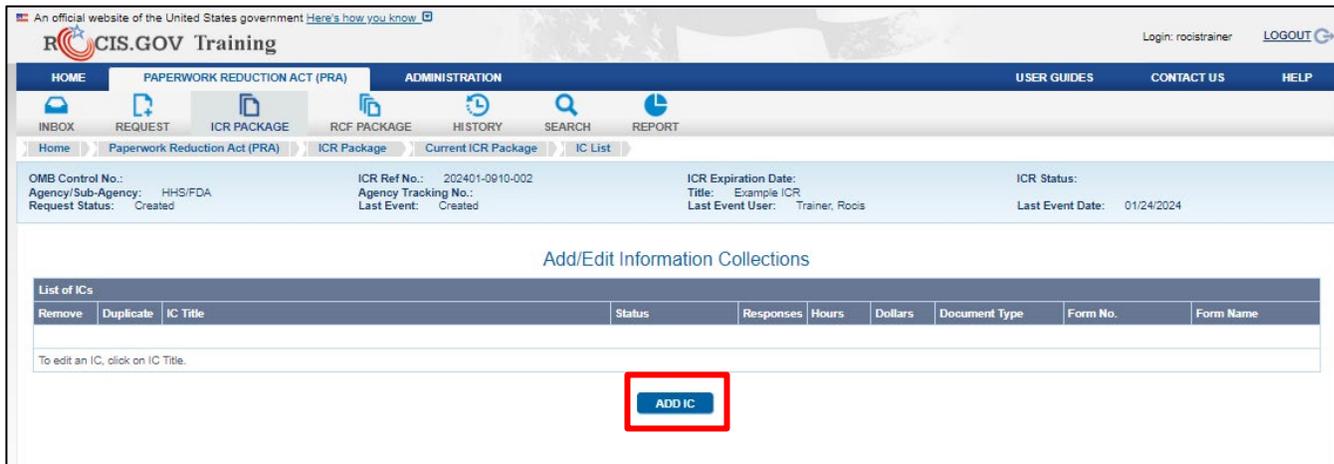


Figure 8.1: Add/Edit Information Collections page

If you are working on a previously approved IC, you can 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 number 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.

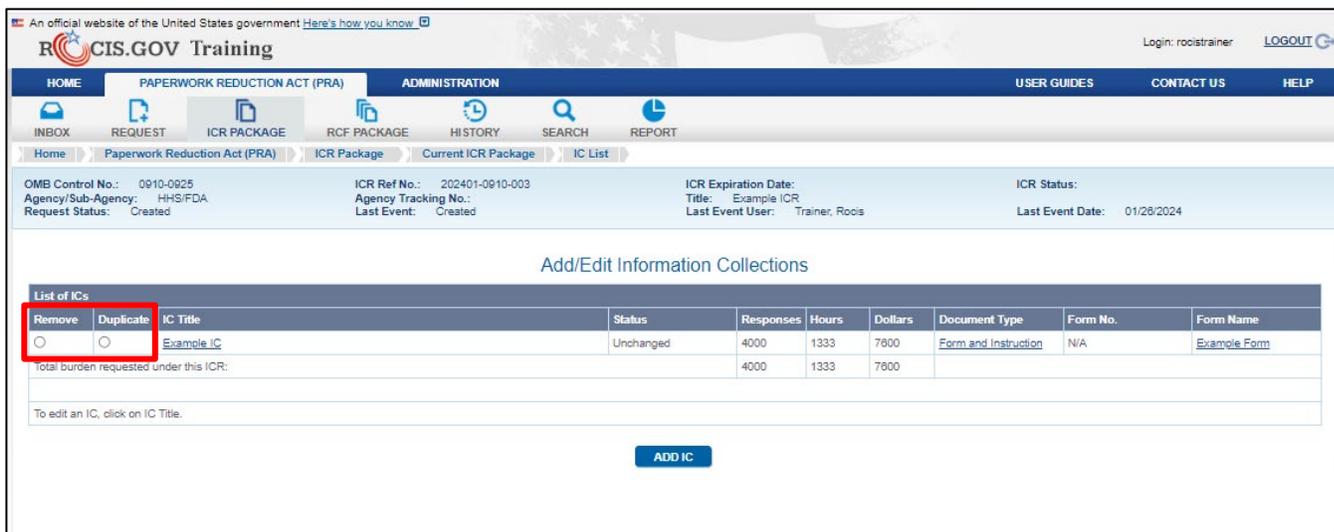


Figure 8.2: Add/Edit Information Collections page – Remove/Duplicate

Once on the Edit IC page, your IC must have one of each:

- 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 or households, one IC

must be created with an affected public of state and local governments and one for individuals or households. For more information, refer to [Appendix A](#) of this document.

Completing the Fields of the Add/Edit IC Screen

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

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.

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

Figure 8.3: Edit IC Screen Fields

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.

The screenshot shows two main sections of the 'Edit IC Screen'. The top section, 'CFR Citation', contains a table with columns for Title, Part, and Operation. Below this table is a 'REMOVE' button and an 'ADD ANOTHER CFR CITATION' button. The bottom section, 'Information Collection Instruments', contains a table with columns for Remove, Document Type, Form No., Form Name, Instrument File, URL, Available Electronically?, Can Be Submitted Electronically?, and Electronic Capability. Below this table are 'REMOVE' and 'ADD INSTRUMENT' buttons.

Title	Part	Operation
	CFR	

REMOVE

ADD ANOTHER CFR CITATION

Remove	Document Type	Form No.	Form Name	Instrument File	URL	Available Electronically?	Can Be Submitted Electronically?	Electronic Capability
<input type="checkbox"/>	Form and Instruction	N/A	Example Form	IC Instrument.docx		Yes	Yes	Fillable Fileable Signable

REMOVE ADD INSTRUMENT

Figure 8.4: Edit IC Screen- CFR Citation/ IC Instruments

How to Add an Instrument

To add a new instrument, click on Add Instrument on the Edit IC screen. Once you click this button, a pop up will appear. This screen will allow you to upload the instrument and give needed information about the instrument for the OIRA desk officer's review.

The screenshot shows the 'Add/Edit IC Instrument' popup window. It contains a 'Choose File' button, an 'UPLOAD' button, a 'Document Type' dropdown menu, radio buttons for 'Is this collection available electronically?' and 'If yes, can this collection be submitted electronically?', an 'Electronic Capability' dropdown menu, and a 'URL' text box. At the bottom are 'SAVE' and 'CLOSE' buttons.

Instrument Filename: IC Instrument.docx

Choose File | No file chosen

UPLOAD

Document Type:

Is this collection available electronically? Yes No

If yes, can this collection be submitted electronically? Yes No

Electronic Capability:

URL:

SAVE CLOSE

Figure 8.5: Add/Edit IC Instrument popup

To upload an instrument, select the **Choose File** button. ROCIS will allow you to navigate your computer 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."

Select a Document Type from the drop-down menu, 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.

Federal Enterprise Architecture Business Reference Model

Line of Business:

Subfunction:

Privacy Act System of Records
Title:

FR Citation: FR

Number of Respondents:

Number of Respondents for Small Entity:

Affected Public:

Percentage of Respondents Reporting Electronically: (%)

Annual IC Burden: (Select appropriate IC Burden Worksheet)

This ICR Requests Change in Net Burden This ICR Requests No Change in Net 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 for this IC	4000	0	0	0	0	4000
Annual IC Time Burden (Hours)	1333	0	0	0	0	1333
Annual IC Cost Burden (Dollars)	7800	0	0	0	0	7800

Documents for IC

Remove	Title	Document	Date Uploaded	Uploaded By
No associated records found				

REMOVE UPGRADE SUPPLEMENTARY ADD NON-ELECTRONIC

Remove reason:

ICR DATA SAVE CHECK ICR COMPLETENESS REMOVE CANCEL

Figure 8.6: Edit IC Screen – Other fields

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. Enter the name of the SOR and then enter the FR Citation for the SORN.

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 considered non-electronic.

Burden Worksheets

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.

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

Federal Enterprise Architecture Business Reference Model

Line of Business:

Subfunction:

Privacy Act System of Records

Title:

FR Citation: FR

Number of Respondents:

Number of Respondents for Small Entity:

Affected Public:

Percentage of Respondents Reporting Electronically: (%)

Annual IC Burden: (Select appropriate IC Burden Worksheet)

[This ICR Requests Change in Net Burden](#)

[This ICR Requests No Change in Net 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 for this IC	4000	0	0	0	0	4000
Annual IC Time Burden (Hours)	1333	0	0	0	0	1333
Annual IC Cost Burden (Dollars)	7800	0	0	0	0	7800

Documents for IC

Remove	Title	Document	Date Uploaded	Uploaded By
No associated records found				

REMOVE UPLOAD SUPPLEMENTARY ADD NON-ELECTRONIC

Remove reason:

ICR DATA SAVE CHECK IC COMPLETENESS REMOVE CANCEL

Figure 8.7: Edit IC Screen – Burden Table Link

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 distribution among the three categories provided, and to enter the frequency of reporting when necessary.

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

Reporting: 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."

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

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

IC Burden Worksheet (Short Form)

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

Annual Number of Responses: 4000
 Type of Collection:

	Annual Time Burden (Hours)	Annual Cost Burden (Dollars)
Reporting	333.33	1600
Record Keeping	1000	6000
Third Party Disclosure	0	0
Total	1333	7600

Annual IC Burdens:

	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	4000	0	0	0	0	4000
Annual IC Time Burden (Hours)	1333	0	0	0	0	1333
Annual IC Cost Burden (Dollars)	7600	0	0	0	0	7600

Frequency of Reporting:

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

Figure 8.6: IC Burden Worksheet (No 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.

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

Number of Respondents: 1000

Number of Responses per Respondent: 1 per Time Period: Quarter (4 per year)

Annual Frequency: 4.0 Annual Number of Responses: 4000

Type of Collection and Burden			
Burden per Response:			
	Time Per Response	Hours	Cost Per Response
Reporting	5 Minutes [80 per hour]	0.0833333333333333	0.4
Record Keeping	15 Minutes [80 per hour]	0.25	1.5
Third Party Disclosure	0	0	0
Total		0.33	1.90

Annual Burden:

	Annual Time Burden (Hours)	Annual Cost Burden (Dollars)
Reporting	333.33	1,600
Record Keeping	1000	6,000
Third Party Disclosure	0	0
Total	1333	7600

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	4000	0	0	0	0	4000
Annual IC Time Burden (Hour)	1333	0	0	0	0	1333
Annual IC Cost Burden (Dollars)	7600	0	0	0	0	7600

Frequency of Reporting:

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

SAVE CLOSE

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

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

Time Per Response Table: 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.

Reporting: 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."

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

Third Party Disclosure: Enter "Third party disclosure" if an IC 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 account for 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	4000	0	0	0	0	4000
Annual IC Time Burden (Hour)	1333	0	0	0	0	1333
Annual IC Cost Burden (Dollars)	7800	0	0	0	0	7800

Figure 8.8: Annual Responses and Burden w/Changes Table

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.

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

You have saved the burdens of the IC in ICR 202401-0910-002.

Number of Respondents: 1000

Number of Responses per Respondent: 1 per Time Period: Quarter (4 per year)

Annual Frequency: 4.0 Annual Number of Responses: 4000

Type of Collection and Burden

Burden per Response:

	Time Per Response	Hours	Cost Per Response
Reporting	5 Minutes (60 per hour)	0.0833333333333333	0.4
Record Keeping	15 Minutes (60 per hour)	0.25	1.5
Third Party Disclosure	0	0	0
Total		0.33	1.90

Frequency of Reporting:

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

Annual Burden:

	Annual Time Burden (Hours)	Annual Cost Burden (Dollars)
Reporting	333.33	1,600
Record Keeping	1000	6,000
Third Party Disclosure	0	0
Total	1333	7600

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	4000	1000	3000	0	0	0
Annual IC Time Burden (Hour)	1333	0	1333	0	0	0
Annual IC Cost Burden (Dollars)	7600	0	7600	0	0	0

SAVE CLOSE

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

Figure 8.9: Annual Responses and Burden w/Changes Table – Adjustment and Save

When you are satisfied with the data on the burden worksheet, select the **Save** button. After the data has been saved, you will receive a confirmation at the top of the window. Once you are finished, you can close the window by clicking the **Close** button and this will return you to the Edit IC screen. You can save the IC by clicking on the **Save** button at the bottom of the screen or continue to add IC’s by repeating the process.

Check for Completeness

When you are done, it is helpful to have ROCIS check the IC page for errors. To run this check, click on the **Check IC Completeness** button return to the ICR Data page to finish adding ICR data. ROCIS will confirm this option with you before running the error check.

The screenshot displays the 'Check for Completeness' interface. At the top, there are fields for 'IC Title' (Example IC) and 'Agency IC Tracking Number'. Below this, there are dropdown menus for 'Is this a Common Form? No' and 'Obligation to Respond: Voluntary'. A table for 'CFR Citation' is visible, with columns for Title, CFR, Part, and Operation. Below that is a table for 'Information Collection Instruments' with columns for Remove, Document Type, Form No., Form Name, Instrument File, URL, Available Electronically?, Can Be Submitted Electronically?, and Electronic Capability. A 'Confirm' dialog box is centered on the screen, asking 'Are you sure you want to check the Completeness of this IC?' with 'OK' and 'Cancel' buttons. At the bottom, a row of buttons includes 'ICR DATA', 'SAVE', 'CHECK IC COMPLETENESS' (highlighted with a red box), 'DELETE', and 'CANCEL'.

Figure 8.10: Check for Completeness –Edit IC page

Once you click the OK button, ROCIS will check the entire IC for areas that are missing or have errors. This includes fields and documents within each IC. Errors will be reported at the top of the screen in a red box. Each error will be displayed as a link and if you click on the link, it will take you to the field or section where the error is occurring.

The screenshot shows the ROCIS system interface with error messages. The header includes 'CIS.GOV Training' and navigation tabs for 'HOME', 'PAPERWORK REDUCTION ACT (PRA)', and 'ADMINISTRATION'. Below the header, there are navigation links for 'INBOX', 'REQUEST', 'ICR PACKAGE', 'RCF PACKAGE', 'HISTORY', 'SEARCH', and 'REPORT'. A red box highlights two error messages: 'Number of Respondents must be a non negative Integer.' and 'Number of Respondents for Small Entity must be a non negative Integer.' Below the error messages, there is a section for 'EDIT IC' with input fields for 'IC Title' (Example IC) and 'Agency IC Tracking Number'.

Figure 8.10: Check for Completeness – Errors received

Once all errors have been fixed, run the check for completeness again. If ROCIS doesn't find any additional errors, you will receive a Passes Check for Completeness message in a green box at the top of the screen.

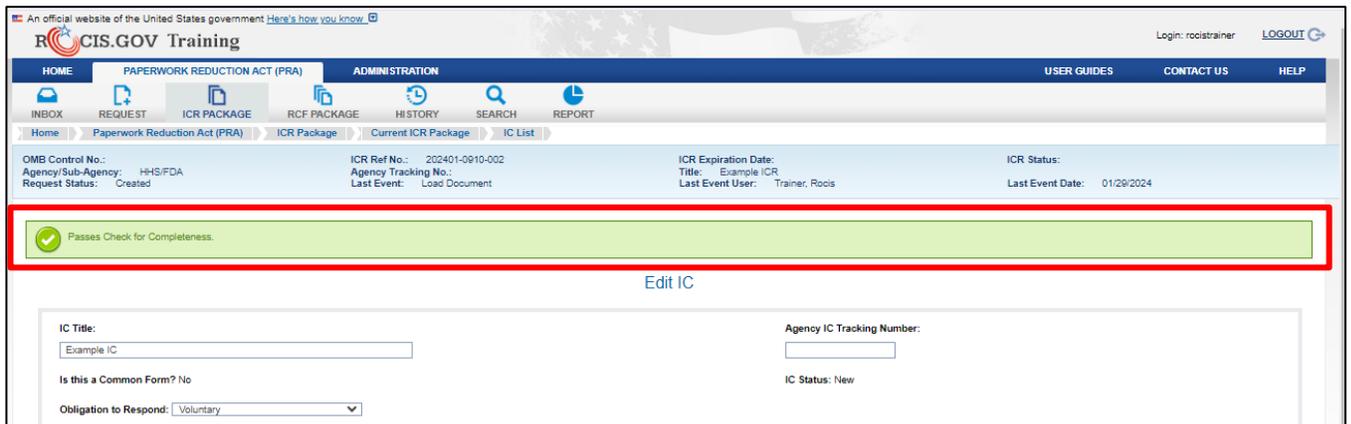


Figure 8.11: Check for Completeness – Passes Check for Completeness

Once you are done running an error check for each IC, click the **Save** button on the Edit IC page and then click the **ICR Data** button to return to the Edit ICR page.

Summary of Burden

Once you have finished entering in any ICs, you can view the Summary of Burden table for the ICR at the bottom of the Edit 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** : these are required if summary change in burden is a Program Change Due to New Statute. Your choices are US Code, Public Law, Statute at Large, or Executive Order. You can add multiple by clicking the **Add Another Statutory Requirement** button.
- **Burden Increase/Decrease** : When the summary indicates changes attributed to Program Change Due to Agency Discretion, (increase or decrease box checked) select the Information Collection budget to which the increase or decrease is attributed from the drop-down list offered, the choices are Changing Regulations or Miscellaneous Actions.
- **Short Statement** : 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.
- **Add/Edit Supporting Statement and Other Documents link**: This link will take you to the Manage ICR Documents page so that you can upload Supporting Statement A and/or B, Supplementary documents, and comments. See the Uploading ICR Documents section for more information on this process.

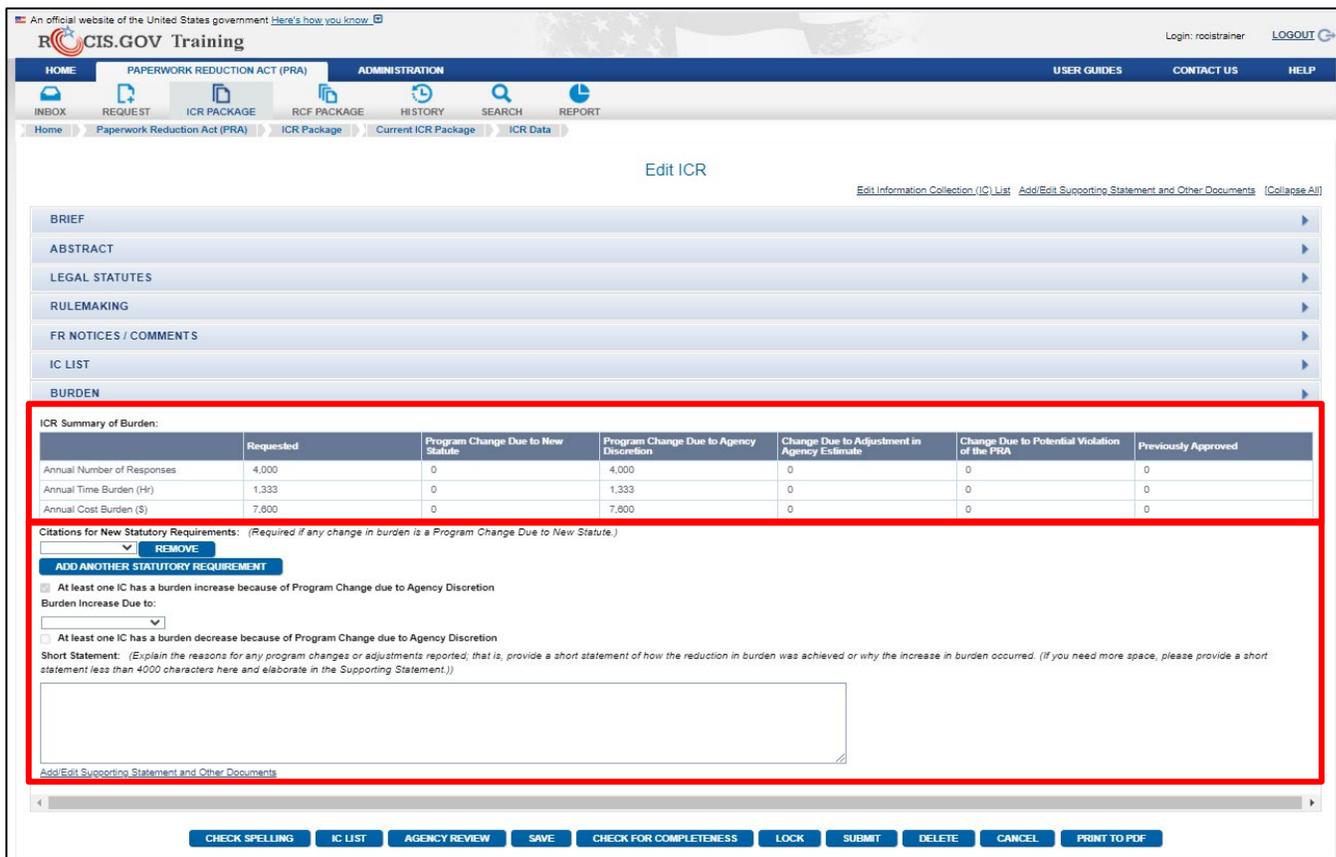


Figure 8.12: Edit ICR Screen -Burden and Increase/Decrease Statement

Action Buttons

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



Figure 9.1: ICR Action buttons

Redirect buttons : 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*.

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

Note: 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.

Function buttons : there are a pair of function buttons that control the updatability of the ICR, these are the *lock* and *unlock* buttons. 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. ROCIS will ask the APC user to confirm they want to prevent further updates to the ICR request before locking the ICR.

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 FRA	Previously Approved
Annual Number of Responses	4,000	0	4,000	0	0	0
Annual Time Burden (Hr)	1,333	0	1,333	0	0	0
Annual Cost Burden (\$)	7,600	0	7,600	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

Burden Increase Due to:

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

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

Figure 9.2: ICR- Lock button

Once the ICR is locked, the only action buttons available are IC List, Agency Review, Check for Completeness, Unlock and Print to PDF. The *unlock* button will only be visible to an APC. Users will see that the ICR has been locked and who locked it at the top of the screen. To unlock an ICR, the APC must click the *unlock* button. ROCIS will confirm this action with the APC before unlocking the ICR.

View ICR (locked by Trainer, Rocis)

View Information Collection (IC) List View Supporting Statement and Other Documents [Expand All]

BRIEF AND OIRA CONCLUSION

OMB Control No: ICR Reference No: 202401-0910-002
 Status: Created Previous ICR Reference No:
 Agency/Subagency: HHS/FDA Agency Tracking No:
 Title: Example ICR
 Type of Information Collection: New collection (Request for a new OMB Control Number)
 Type of Review Request: Date Submitted to OIRA:

	Requested	Previously Approved
Expiration Date		
Responses	4,000	0
Time Burden (Hours)	1,333	0
Cost Burden (Dollars)	7,600	0

ABSTRACT/JUSTIFICATION

LEGAL STATUTES

RULEMAKING

FR NOTICES / COMMENTS

IC LIST

BURDEN

MISC.

COMMON FORM INFO.

CERTIFICATION

IC LIST AGENCY REVIEW CHECK FOR COMPLETENESS **UNLOCK** PRINT TO PDF

Figure 9.3: ICR- unlock button

Special Function buttons : there are two special function buttons, they are the *Check for Completeness* and *Agency Review* 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 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 ensure 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 be submitting the request. For more information on this process see Check for Completeness .

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.

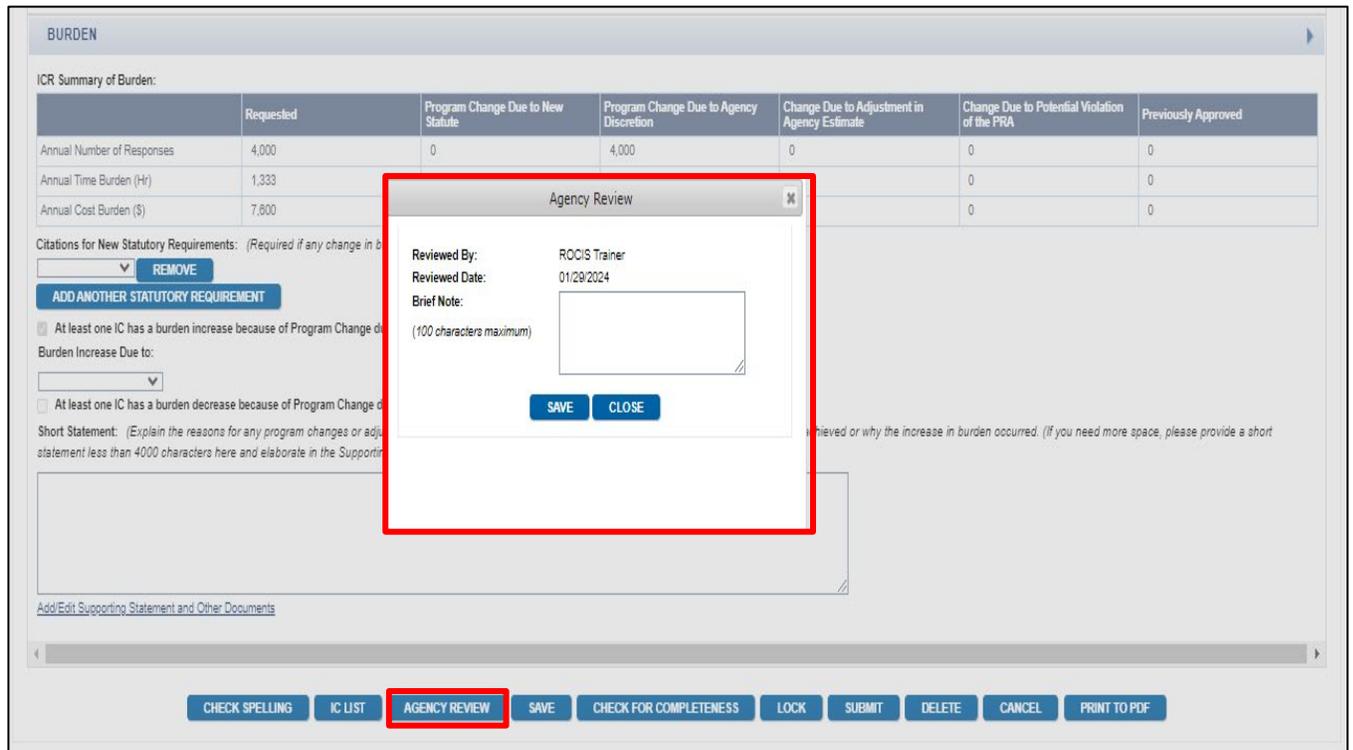


Figure 9.4: ICR -Agency Review Pop Up Screen

ICR Documents

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

You can access the Manage ICR Documents page a few different ways in ROCIS.

1. While in the Edit ICR page, select the ICR Package icon from the navigational toolbar, and from the drop-down list, choose Current ICR Package and then click on ICR Documents.
2. At the top of the Edit ICR page, click on Add/Edit Supporting Statement and Other Documents link (under the Edit ICR heading).
3. At the bottom of the Edit ICR page, click on the Add/Edit Supporting Statement and Other Documents link (under the Burden section, at the bottom).

The screenshot shows the ROCIS.GOV Training interface. The top navigation bar includes 'HOME', 'PAPERWORK REDUCTION ACT (PRA)', 'ADMINISTRATION', 'USER GUIDES', 'CONTACT US', and 'HELP'. The 'PAPERWORK REDUCTION ACT (PRA)' menu is expanded, showing options like 'Previous ICR Package', 'Agency Submitted ICR Package', 'Agency Amend ICR Package', 'Concluded ICR Package', and 'Current ICR Package'. The 'Current ICR Package' option is selected, leading to the 'Edit ICR' page. The 'Add/Edit Supporting Statement and Other Documents' link is highlighted in red in two locations: one in the top right of the 'Edit ICR' page and one at the bottom left of the page. The page also features a table for 'ICR Summary of Burden' and a section for 'Citations for New Statutory Requirements'.

	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	4,000	0	4,000	0	0	0
Annual Time Burden (Hr)	1,333	0	1,333	0	0	0
Annual Cost Burden (\$)	7,600	0	7,600	0	0	0

Figure 10.1: ICR -Accessing the Manage Documents page

You will arrive at the Manage ICR Documents screen. The Manage Documents page is for uploading the following documents:

- Supporting Statement A
- Supporting Statement B
- Supplementary Documents
 - Supplementary Document
 - Proposed Rule Document
 - Final Rule Document
 - Draft Federal Register Notice
 - Justification for No Material/Nonsubstantive Change
- Public Comments

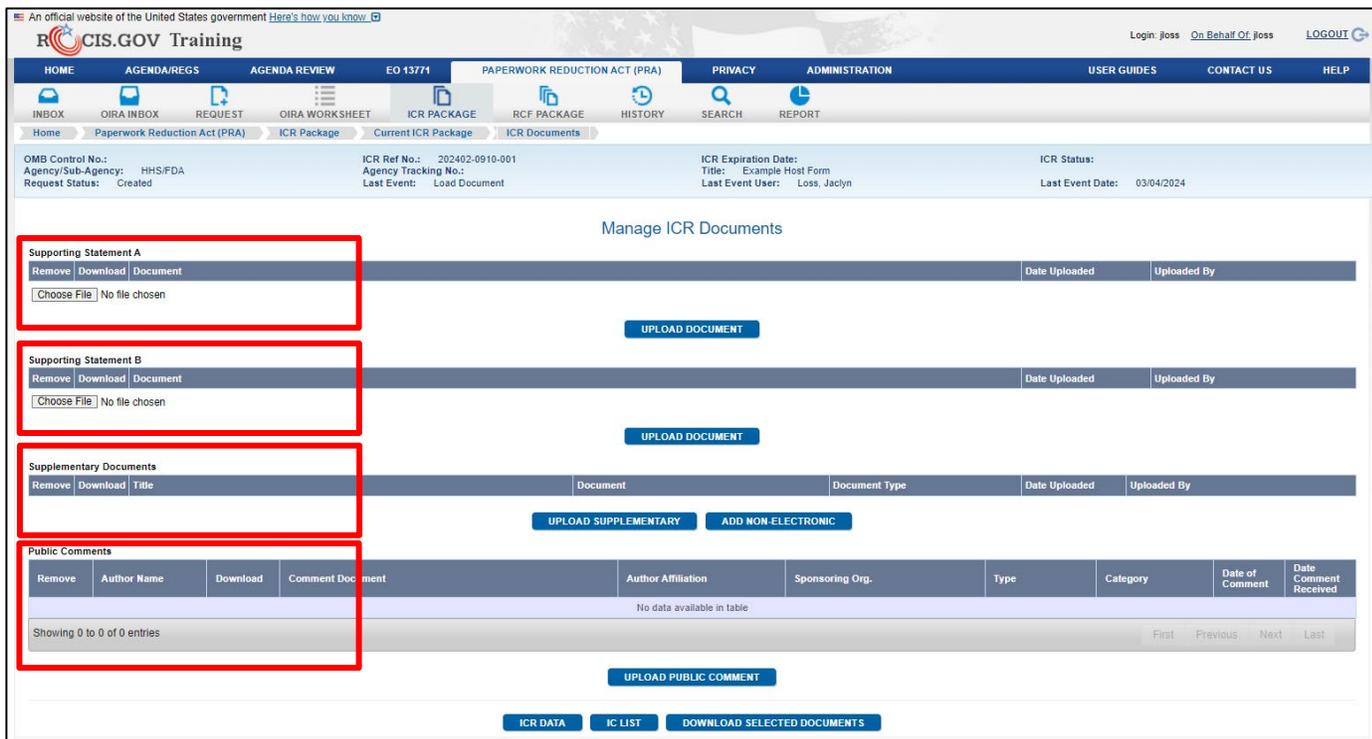


Figure 10.2: Manage Documents Screen

Document Inspection

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 documents are clean—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. Saving/ uploading documents as PDF documents is another way to ensure against displaying revisions.

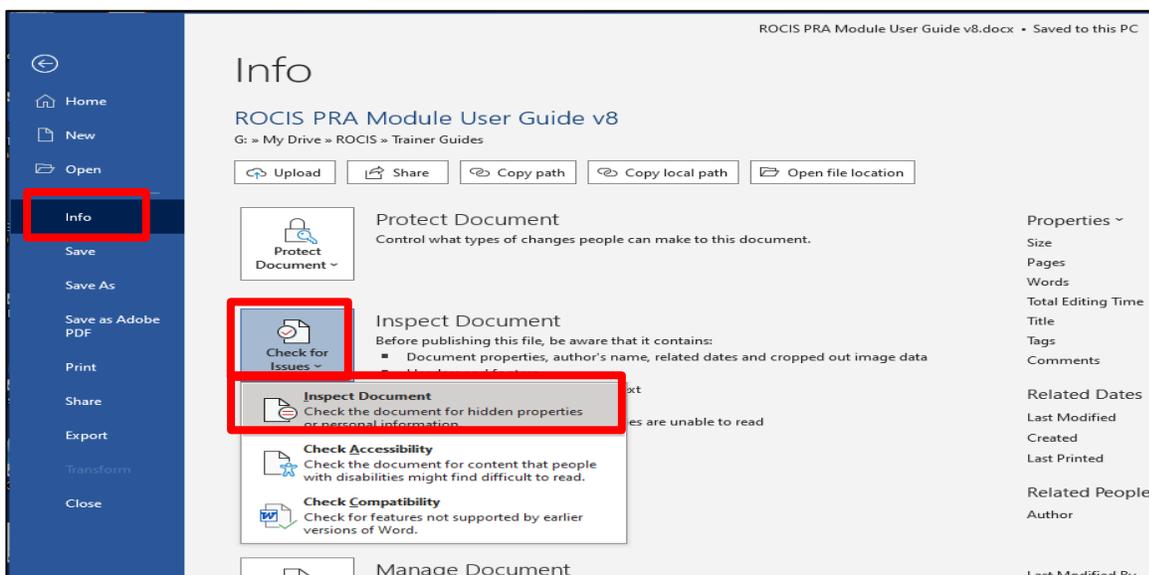


Figure 10.3: Document Inspector Functionality in Microsoft Word

Supporting Statements A and B

Every new ICR request requires a Supporting Statement A. Supporting Statement B is only required if you answered Yes to the question, “Does this ICR contain surveys, censuses, or employ statistical methods?” on the Edit ICR page. Only upload one Supporting Statement A/B for each ICR, any attempt to upload a second one will result in overwriting the first.

To upload your Supporting Statement A or B, click the Choose File button, under the appropriate document heading. ROCIS will then allow you to browse your computer files to find the correct document. Once you locate it, click on it and the file name will appear in the window.

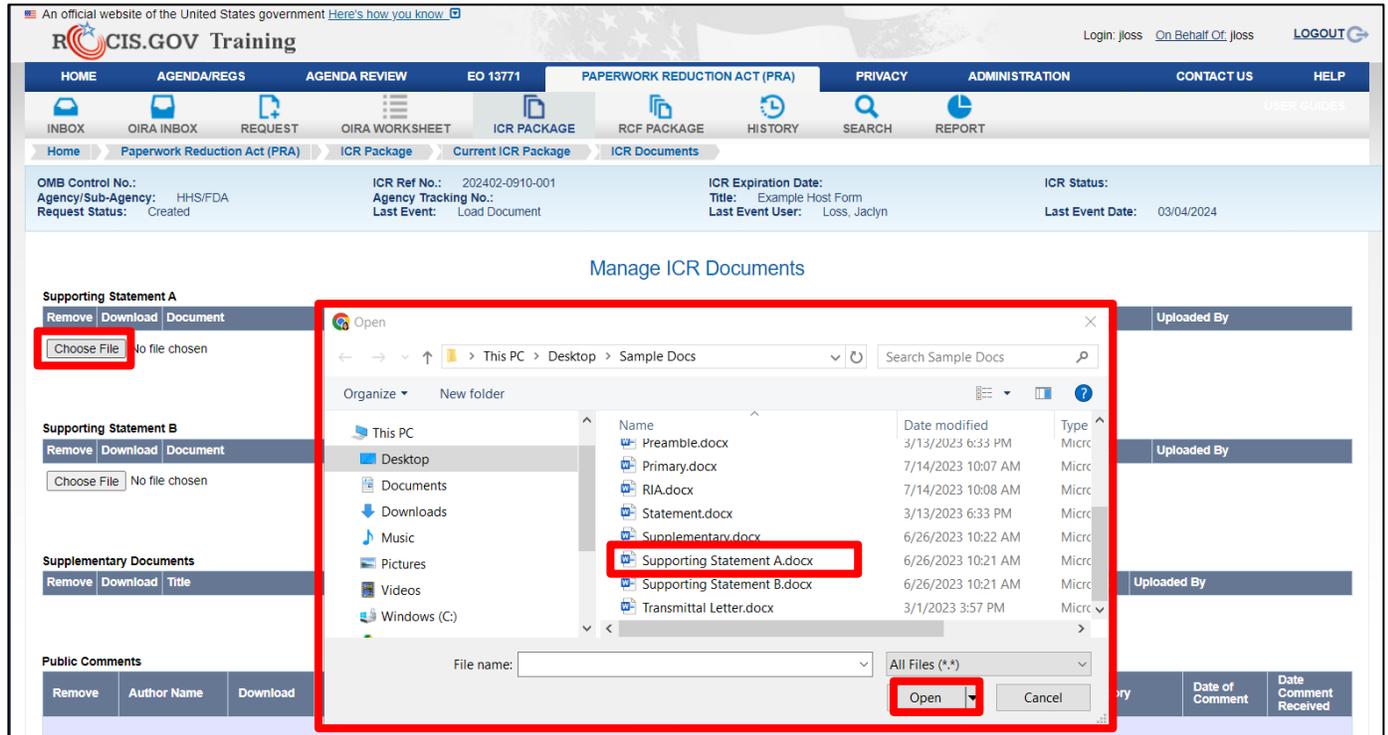


Figure 10.4: Manage Documents - Choose File

Next, click the **Open** button, and the path to the document will appear in the ROCIS window. Finally, click the **Upload Document** button.

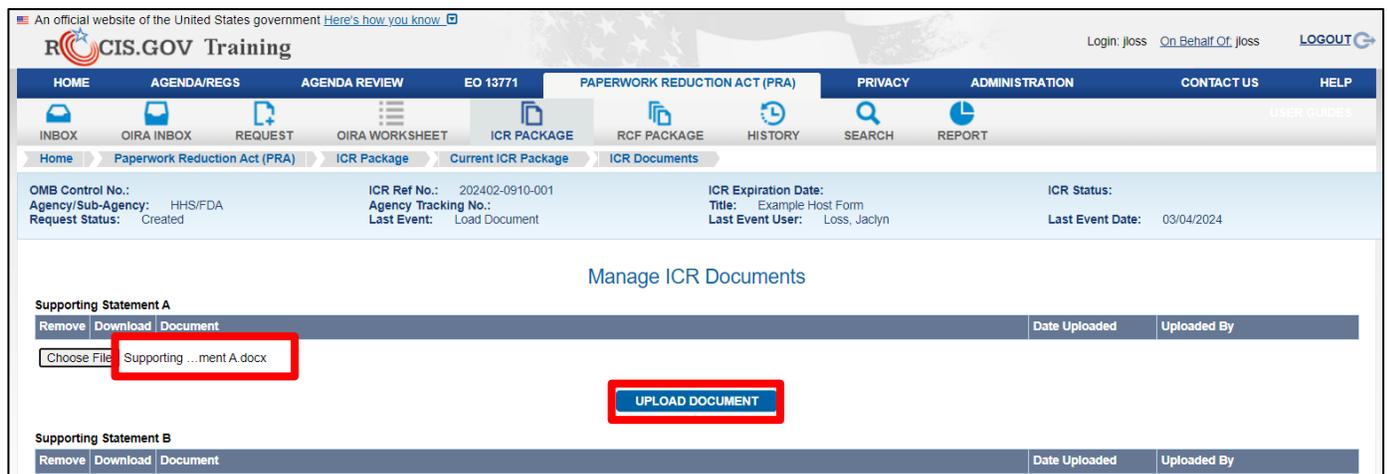


Figure 10.5: Manage Documents – Upload Document

Once you click on the Upload Document button, ROCIS will attach the file electronically to your submission. The file name will be displayed as a link under Supporting Statement A.

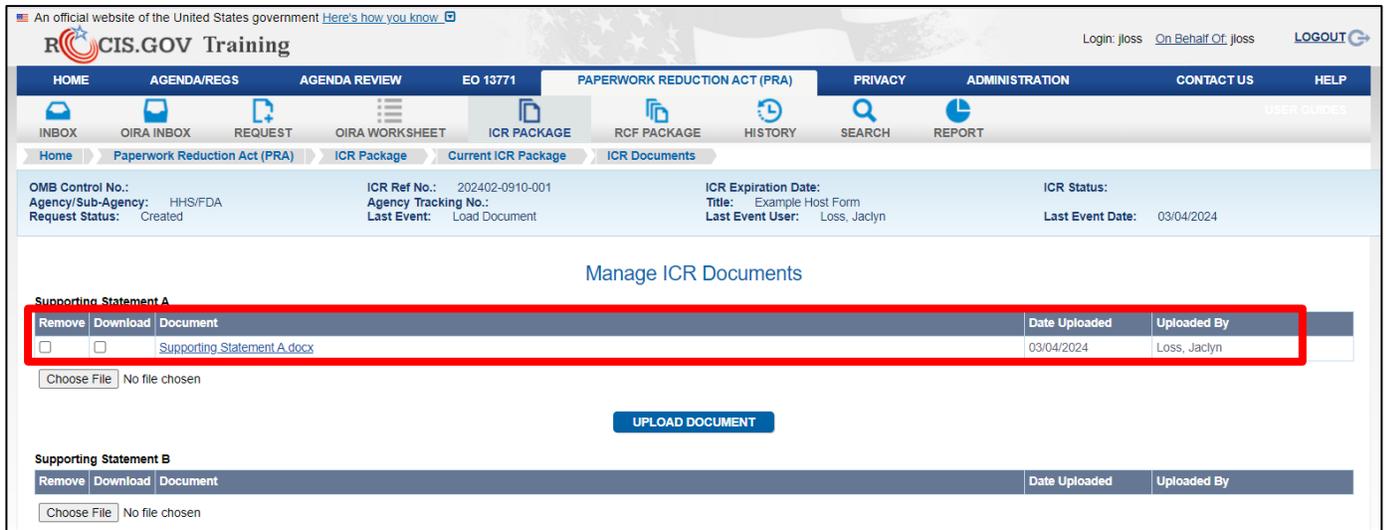


Figure 10.6: Manage Documents – File Name link and date

There is also now a box under the **Remove** column. If you would like to delete a document, check the box next to the document by clicking on it. ROCIS will confirm this action with you before proceeding. To confirm, click the OK button.

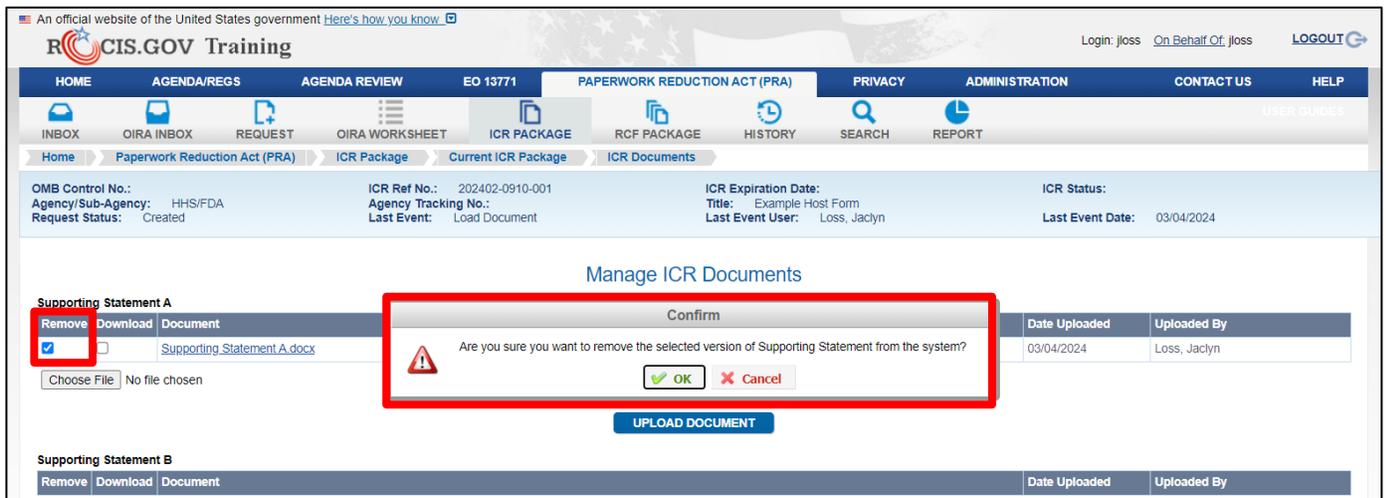


Figure 10.7: Mange Documents – Remove document

Once you confirm the removal of the document, it will be removed from the table.

Supplementary Documents

Additional documents that are relevant to the OIRA review may be uploaded as supplementary documents. To upload a document, choose the 'Upload Supplementary' button; a pop-up window will appear. A title, document type and document date will need to be provided before uploading the document.

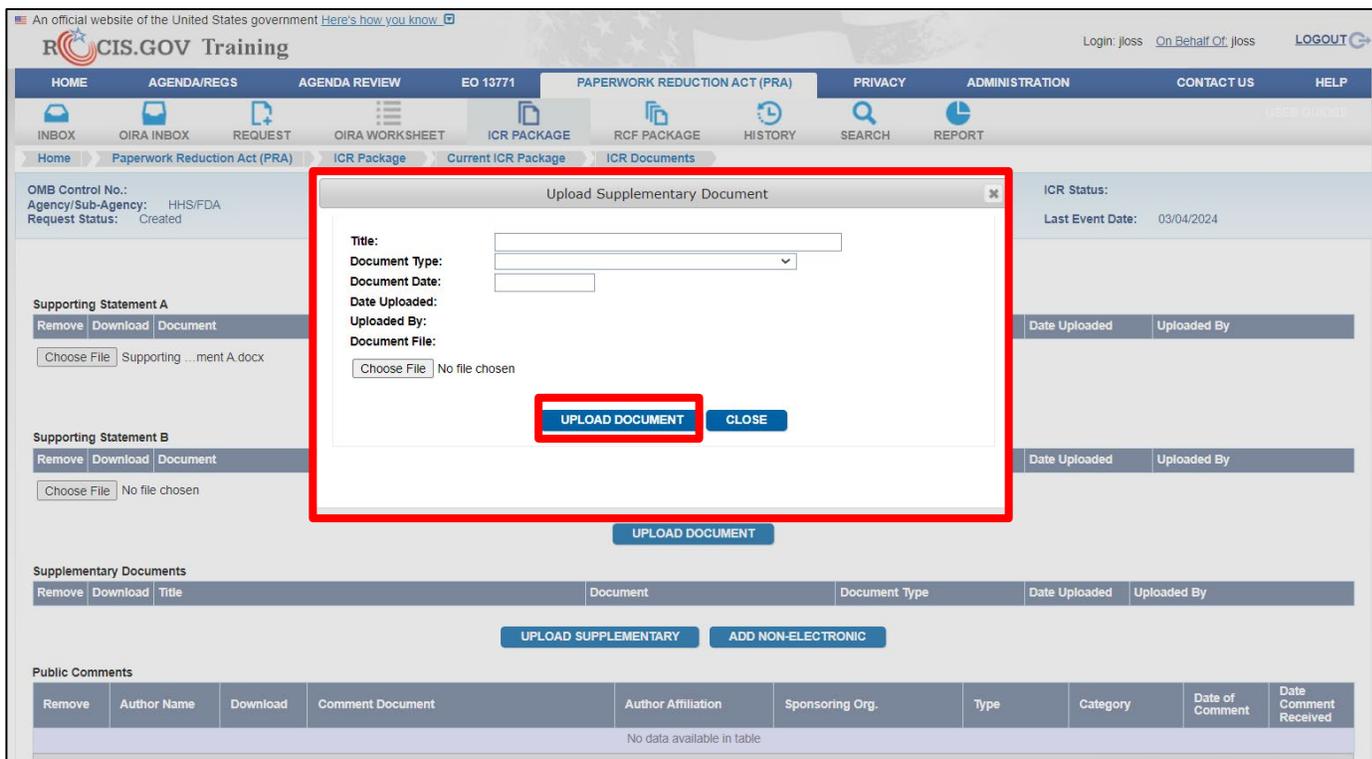


Figure 10.8: Manage Documents -Upload Supplementary Document

Insert a title for the document and then click on the document type drop-down box. When selecting a value for this data item, only choose Supplementary Document if the document to be uploaded is **NOT** a Proposed Rule Document, a Final Rule Document, a Draft Federal Register Notice or a Justification for a No Material/Nonsubstantive Change.

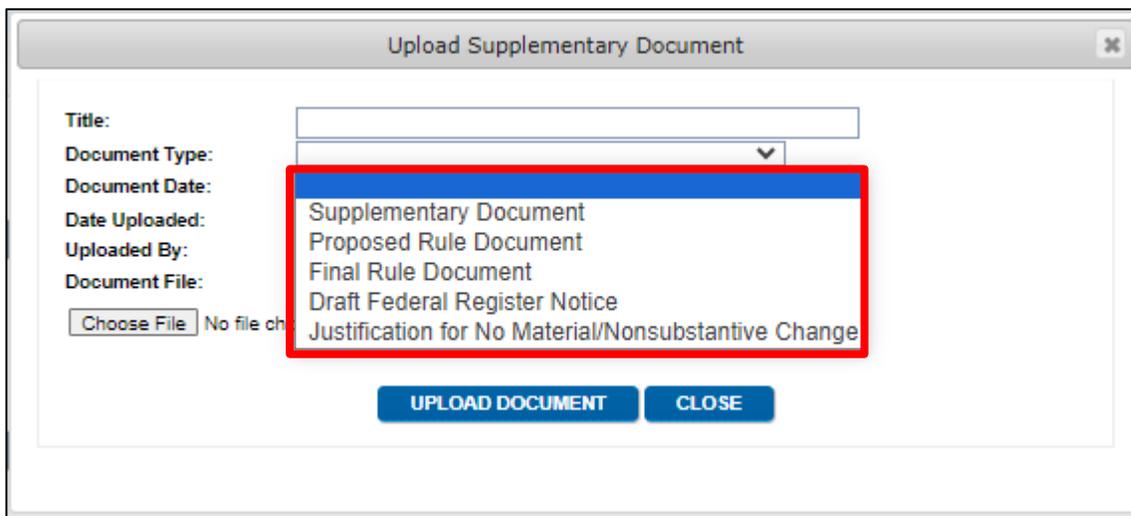


Figure 10.9: Manage Documents -Document Types

Then click in the Date field and choose a date for the document. If the document was signed and or dated, use that date, if date is present, use the current date. Then click the Choose File button to

select the document (see Figure 10.4 for process) and click the Upload Document button to upload it to ROCIS.

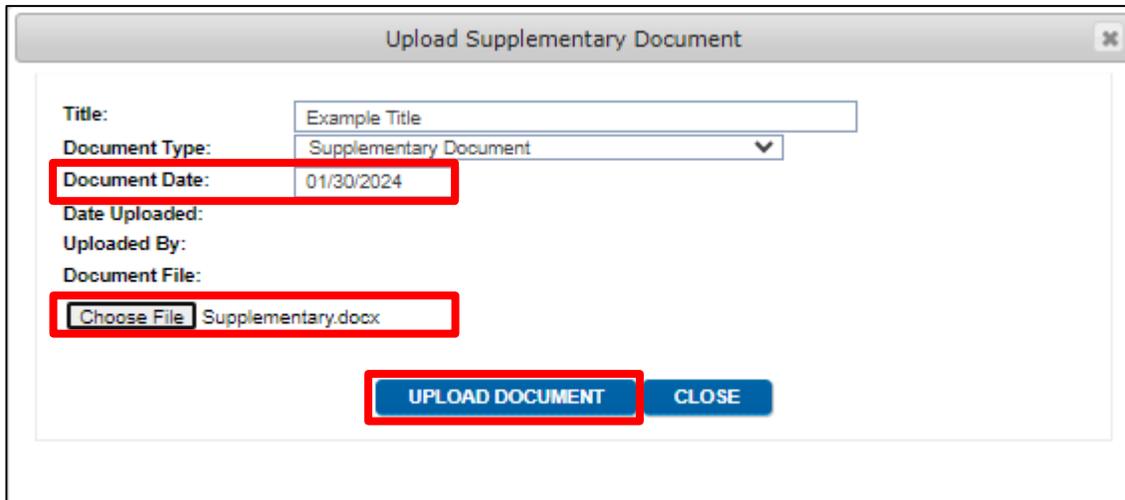


Figure 10.10: Manage Documents -Document Date/Uploading

You will receive a confirmation that the document was uploaded. To exit out of the upload box, click the Close button at the bottom. Follow the same procedure if you need to upload more documents.

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 (see Figure 10.7 for this process).

Public Comments

The final portion of the Manage ICR Documents screen allows the agency to upload public comments that it has received. To do this, choose the **Upload Public Comment** button under the Public Comments heading. Click on the Choose File button to upload a document and then once you file is chosen, click open and then the Upload New Document button.

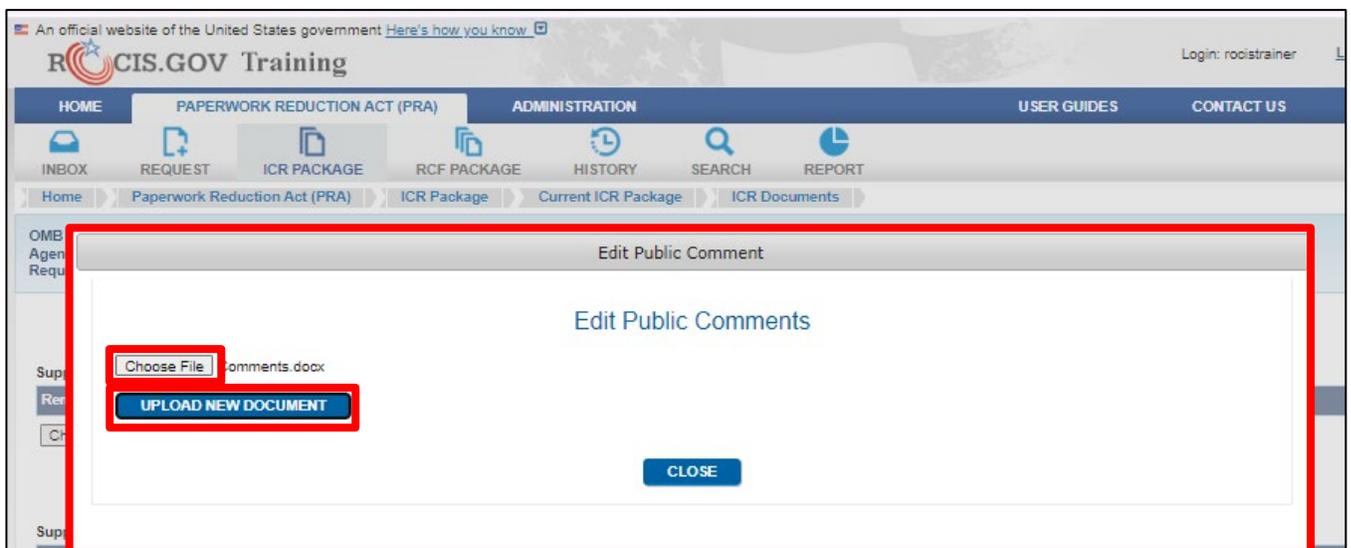


Figure 10.11: Manage Documents -Public Comment Upload

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

Dates: ROCIS will automatically insert the current date; you can change these fields to represent the date of the comment or when it was received.

The following fields are not required to proceed, users can save after inserting the date(s):

- **Category:** If many comments were received, it may be appropriate to select **Simple** and provide one document with a summary of the comments and how they were addressed. If multiple comments such as preprinted postcards or letters were received, it would be adequate to provide a sample and select the radio button for **Multiple**.
- **Comment Type:** Choose the type of comment, choices are *Fax, Letter, Email, Post Card, or Other*.
- **Author/Sponsoring Organization:** If comments are not marked anonymous, you can type in details about the author's first and last name and/or Sponsoring Organization.

You can upload additional documents here if they pertain to the same date, author, or organization if you choose by clicking the Choose File button, then the Upload New Document button. If no other documents need to be uploaded, click the Save button. You will receive a confirmation at the top of the window and then you can click the Close button to return to the Manage Documents screen.

The screenshot shows the 'Edit Public Comment' form in the ROCIS.GOV Training system. The form is titled 'Edit Public Comments' and contains the following fields and elements:

- Date of Comment:** (mm/dd/yyyy) - 01/30/2024
- Date Comment Received:** (mm/dd/yyyy) - 01/30/2024
- Category:** Simple (selected), Multiple
- Comment Type:** Other (dropdown)
- Author's First Name:** (text input)
- Author's Last Name:** (text input)
- Author's Affiliation:** (text input)
- Sponsoring Organization:** (text input)

Below the form, there is a table with one entry:

Remove	Comment Document	Verified
	Comments.docx	Verified

Showing 1 to 1 of 1 entries

Buttons: Choose File, No file chosen, **UPLOAD NEW DOCUMENT**, **SAVE**, **CLOSE**

Figure 10.12: Manage Documents -Public Comment details

When you are finished uploading documents on this page, you can go back to the Edit ICR page a couple different ways in ROCIS.

1. While in the Manage Documents page, select the ICR Package icon from the navigational toolbar, and from the drop-down list, choose Current ICR Package and then click on ICR Data.
2. At the bottom of the Manage Documents page, click on the **ICR Data** button.

Multiple Document Download

You can download multiple documents at once while on the Manage ICR Documents page. To do this, select the checkbox under the “Download” column for each document you want to download in each section (*checkbox will only appear in the section if there is a document uploaded*).

The screenshot shows the 'Manage ICR Documents' interface. It is divided into four sections: Supporting Statement A, Supporting Statement B, Supplementary Documents, and Public Comments. Each section has a table with columns for document management and metadata. In the 'Supporting Statement A' and 'Supporting Statement B' sections, the 'Download' column has a checkbox that is checked and highlighted with a red box. In the 'Supplementary Documents' section, the 'Download' column also has a checked checkbox highlighted with a red box. The 'Public Comments' section has a 'Download' column but no data is shown. At the bottom of the page, there are buttons for 'ICR DATA', 'IC LIST', and 'DOWNLOAD SELECTED DOCUMENTS'.

Remove	Download	Document	Date Uploaded	Uploaded By
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Supporting_Statement_A.docx	03/04/2024	Loss, Jaclyn

Choose File | No file chosen

UPLOAD DOCUMENT

Remove	Download	Document	Date Uploaded	Uploaded By
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Supporting_Statement_A.docx	03/04/2024	Loss, Jaclyn

Choose File | No file chosen

UPLOAD DOCUMENT

Remove	Download	Title	Document	Document Type	Date Uploaded	Uploaded By
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Example Supplementary	Supplementary.docx	Supplementary Document	03/04/2024	Loss, Jaclyn

UPLOAD SUPPLEMENTARY | ADD NON-ELECTRONIC

Remove	Author Name	Download	Comment Document	Author Affiliation	Sponsoring Org.	Type	Category	Date of Comment	Date Comment Received
No data available in table									

Showing 0 to 0 of 0 entries

First | Previous | Next | Last

UPLOAD PUBLIC COMMENT

ICR DATA | IC LIST | DOWNLOAD SELECTED DOCUMENTS

Figure 10.13: Manage Documents – Document Download Checkbox

Once each box is checked, scroll to the bottom, and click on the **Download Selected Documents** button. The selected documents will then be downloaded to your “Downloads” folder.

Note: Please make sure pop-up blockers are turned off or popups are allowed for ROCIS.gov.

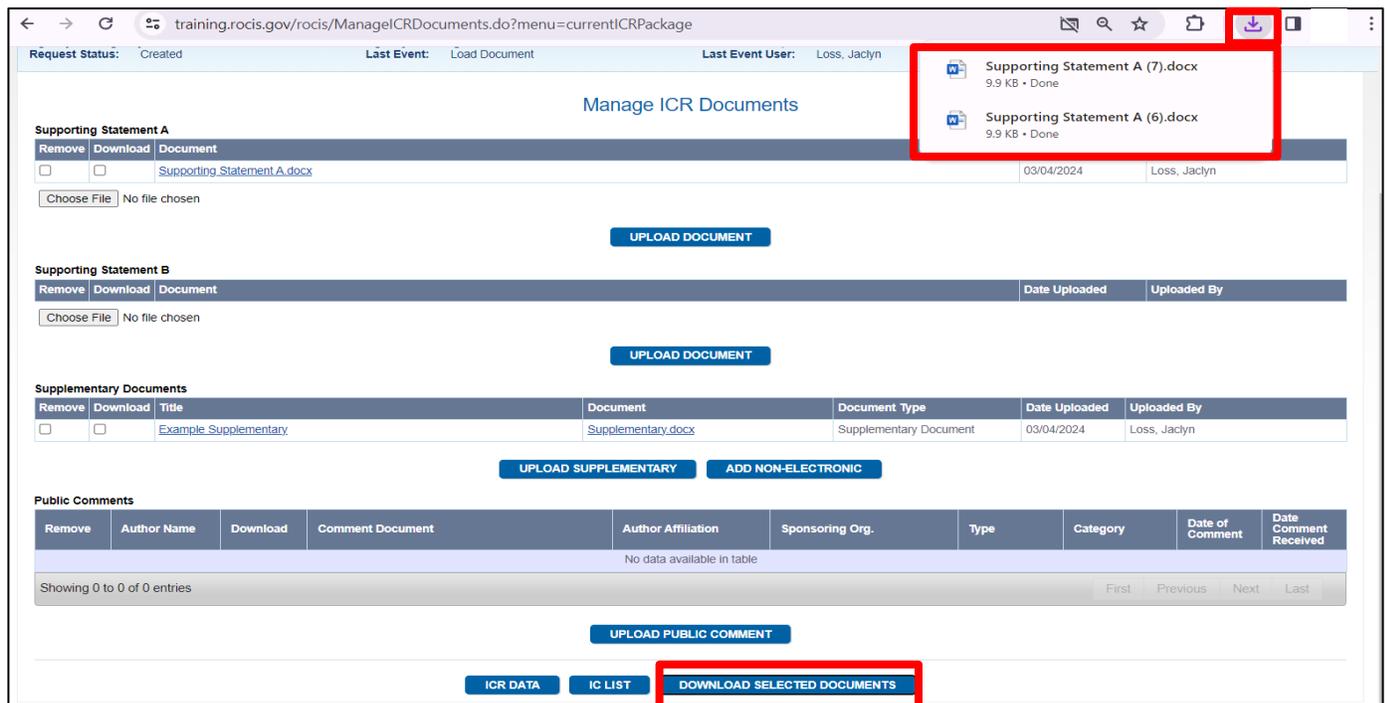


Figure 10.14: Manage Documents – Download Selected Documents button

Submitting an ICR Package

When you are ready to submit your ICR package to OIRA, you will click the Submit button at the bottom of the screen. Again, only someone with the APC role can submit on behalf of the agency. After clicking the Submit button, ROCIS will have you confirm that you are ready to submit the ICR to OIRA, to agree, click OK. Once you do this, you will be taken to the Certification for Paperwork Reduction Act Submissions page.

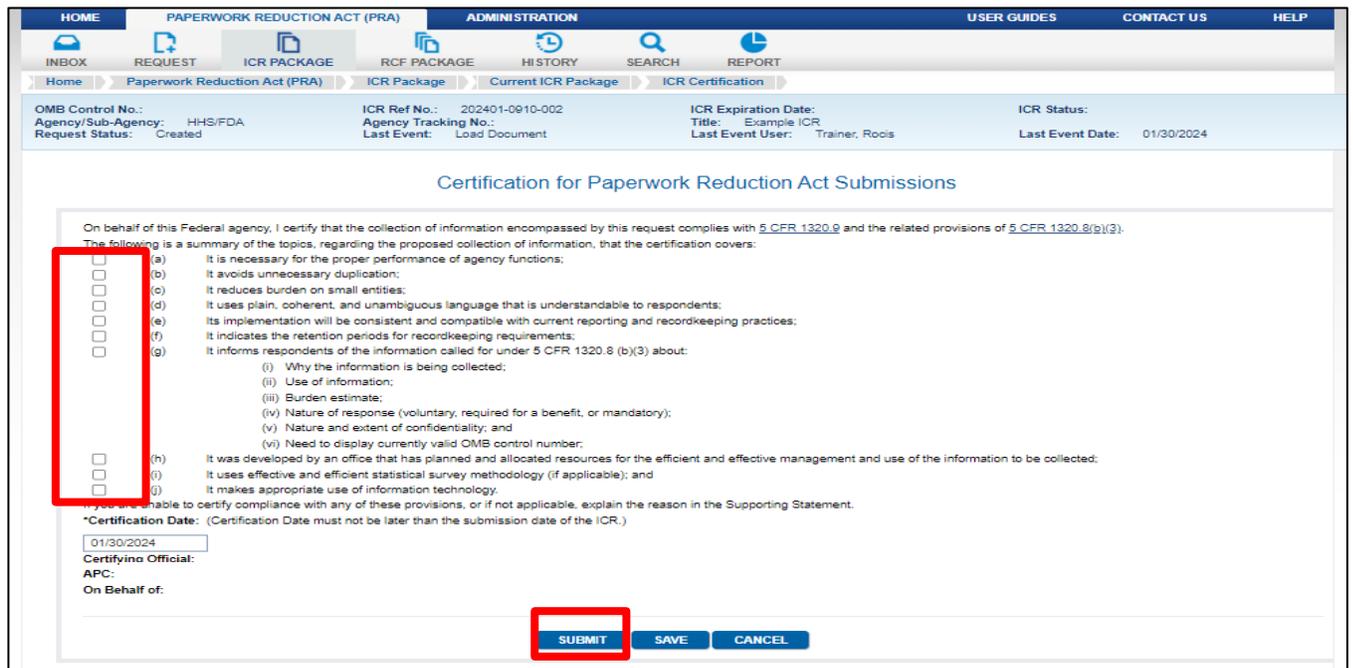


Figure 11.1: Certification for Paperwork Reduction Act Submissions page

The APC must check off each topic (see screenshot above) that the ICR covers to certify, on behalf of the agency Certifying Official, that the collection of information request complies with [5 CFR 1320.9](#) and the related provisions of [5 CFR 1320.8\(b\)\(3\)](#). 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)).

Once the certification has been reviewed by the authorized submitter, pressing the submit button will cause the request to be officially submitted. The request will then be moved from your Created Request List to your Submitted Request List. This is where you can review the status of the request.

The Review Process and Open/Close for Amendment

When the ICR request is submitted, the ROCIS system saves the agency submission, and that agency submission record (A 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 Record (O Record).

For the agency to make changes to the O Record 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 to 'open for amendment'. Once an ICR request has this status, the agency can make certain changes to the submission by clicking on either the Status or the ICR Reference Number in the submitted request list.

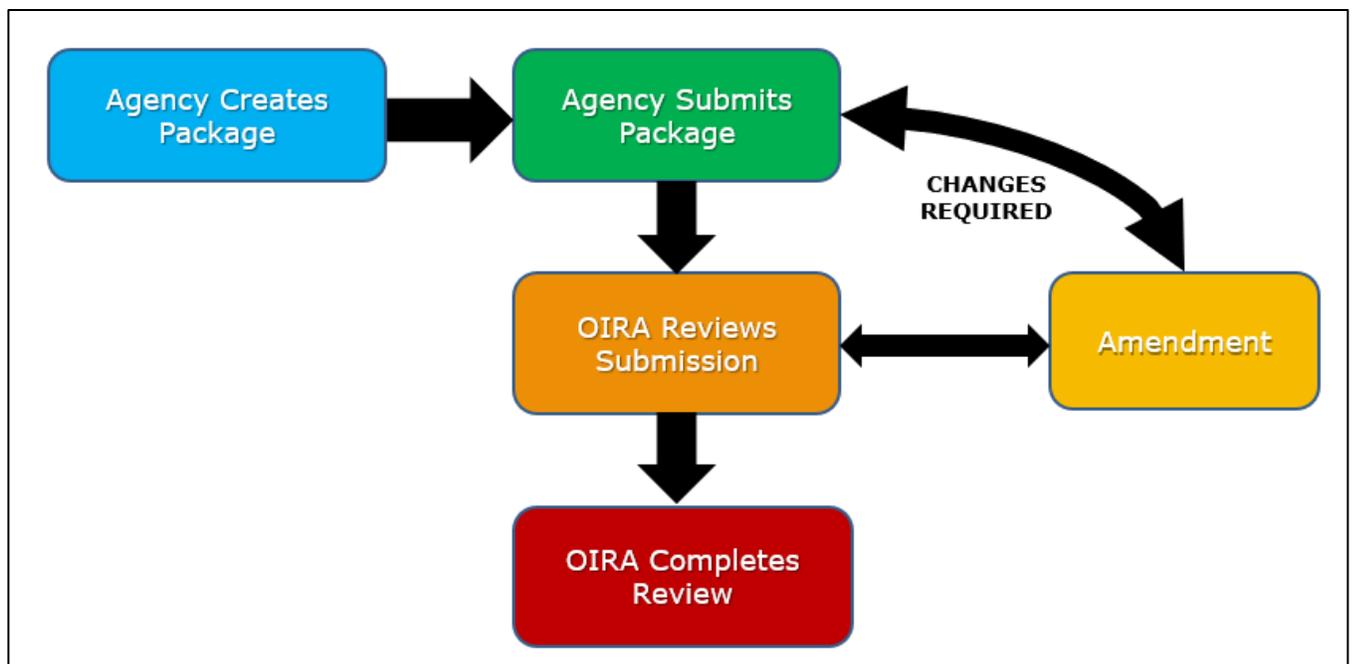


Figure 12.1: Review Process

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.

Once the agency submits their changes to OIRA, ROCIS will automatically change the status to ‘closed for amendment’. Once this is done, the changes made to the O 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, the A Record, not the modified copy (O Record). This will be true until the review is concluded by OIRA. Once the review is concluded, the O 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 icon and choosing ‘Agency Submitted ICR Package’.

NOTE REGARDING EXPIRATIONS: 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 pass, 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. Only one request per OMB control number can be under review at the same time.

The Conclusion Process

When OIRA concludes the review of the ICR, 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.

The screenshot shows the ROCIS.gov Training interface. At the top, there is a navigation bar with 'HOME', 'PAPERWORK REDUCTION ACT (PRA)', and 'ADMINISTRATION'. Below this is a 'Concluded Request List' table. The table has columns for OMB Control No, ICR Ref. No / RCF ID, Agency/Sub, Agency ICR Tracking Number, Title, Current Expiration Date, Request Type, Conclusion Action, and Concluded Date. A dropdown menu is open for the 'Conclusion Action' column, showing 'Approved with change' and a download icon for 'NOA (82).pdf' (92.9 KB • Done). The table also includes a 'FILTER LIST' and 'VIEW ALL' button, and a 'Showing 1 to 1 of 1 entries' message.

OMB Control No	ICR Ref. No / RCF ID	Agency/Sub	Agency ICR Tracking Number	Title	Current Expiration Date	Request Type	Conclusion Action	Concluded Date
0910-0925	202401-0910-001	HHS/FDA		Example ICR	01/31/2027	ICR New	Approved with change	01/17/2024

Figure 13.1: Conclusion Process- Notice of Action

Conclusion Actions

OIRA can conclude the review with certain 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

Special Conclusion Actions

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 this 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: Comment Filed on Proposed Rule and Preapproved.

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.

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.

The screenshot displays the 'View ICR - OIRA Conclusion' page. The main content area shows the 'BRIEF AND OIRA CONCLUSION' for a submission with the following details:

- OMB Control No: 1018-0181
- Status: PreApproved
- Agency/Agency: ECHA/US
- Title: Requests for Drain Tile Setback (50 CFR 25)
- Type of Information Collection: New collection (Request for a new OMB Control Number)
- Type of Review Request: Regular
- OIRA Conclusion Action: Preapproved
- Conclusion Date: 11/09/2023
- Date Received in OIRA: 04/28/2023
- Agency Tracking No: RIN 1018-B/G30 (Proposed Rule)

Below the details is a table for 'Inventory as of 11/30/2023' and a 'Previously Approved' table. A modal window titled 'Enter Final Rule Information' is open, prompting for 'Final Rule FR Citation' and 'FR Citation Date'. At the bottom of the page, an 'ACTIVATE' button is highlighted with a red box.

Figure 13.2: Conclusion Process- Activate a Preapproval

NOTE ON PREAPPROVED: 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.

Requesting a No material/Nonsubstantive Change

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

To create this type of request, follow the same procedure for [creating 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.

The screenshot shows the 'Edit ICR' screen in the ROCIS.GOV Training system. The page has a navigation bar with 'HOME', 'PAPERWORK REDUCTION ACT (PRA)', 'ADMINISTRATION', 'USER GUIDES', 'CONTACT US', and 'HELP'. Below the navigation bar are icons for 'INBOX', 'REQUEST', 'ICR PACKAGE', 'RCF PACKAGE', 'HISTORY', 'SEARCH', and 'REPORT'. The main content area is titled 'Edit ICR' and includes a 'BRIEF' section with the following information:

- Agency: 0910 FDA
- OMB Control Number: 0910-0925
- Common Form ICR: No
- Agency ICR Tracking Number: [Empty field]
- ICR Reference Number: 202401-0910-004
- Previous ICR Reference Number: 202401-0910-001

The 'Type of Information Collection (check one):' dropdown menu is highlighted with a red box and is set to 'No material or nonsubstantive change to a currently approved collection'. A 'Change Request Type' modal message is also highlighted with a red box, stating: 'Certain fields cannot be modified on a non-substantive change and will be locked from being updated if you continue.' The form includes radio buttons for 'Yes' and 'No' for various regulatory questions.

Figure 14.1: Edit ICR Screen with Change Request Message

Make the proposed changes on the appropriate screens (Edit ICR, Edit IC, Add Instrument, Burden Worksheet). Once you are done making changes on this page, you will navigate to the Manage ICR Documents page.

Because you will be modifying an existing approval, you will not be uploading a new Supporting Statement A or B. Instead, you will need to upload a Justification for No Material/Non-substantive Change by clicking on the Upload Supplementary button in the Supplementary Documents section.

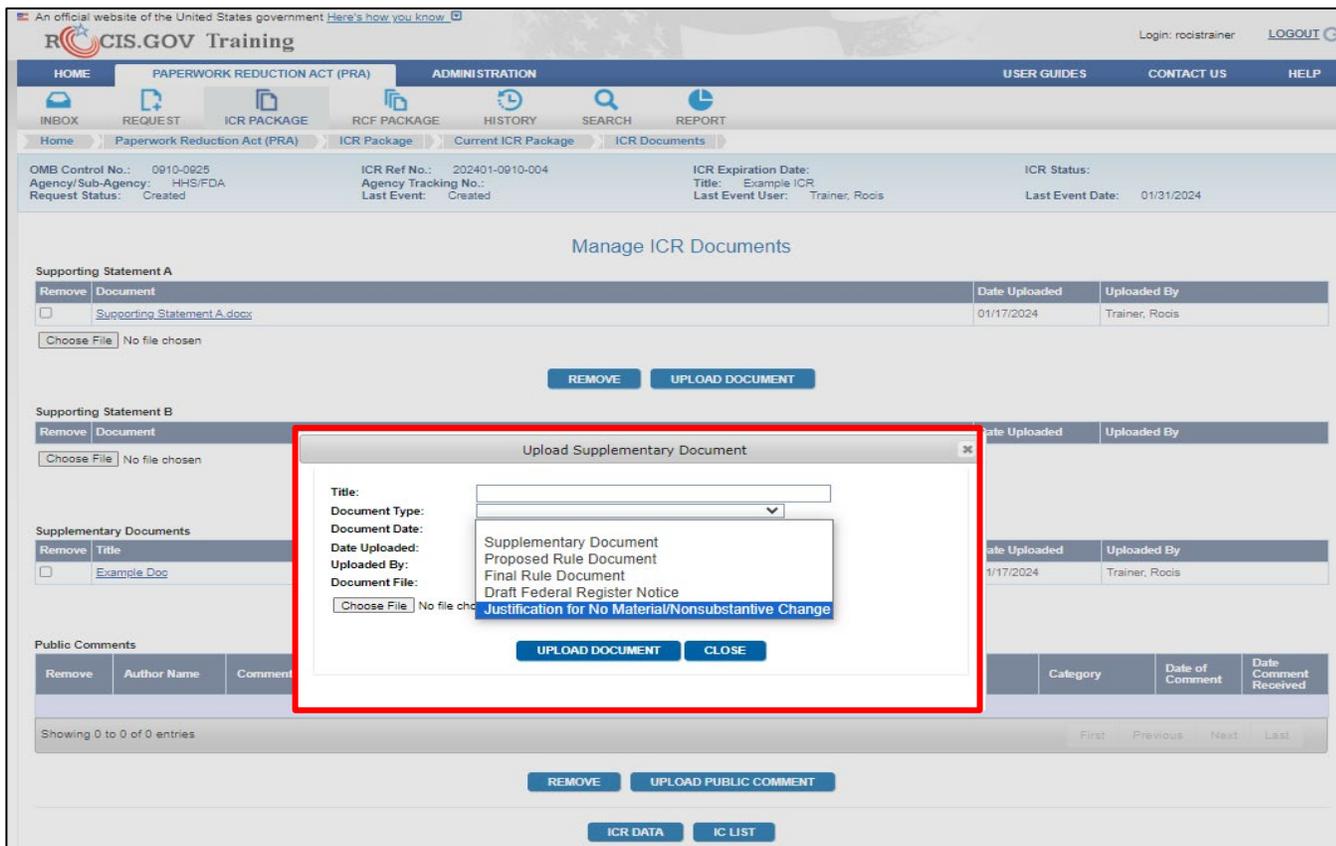


Figure 14.2: Upload Supplementary Document Pop Up

There is no template for the Justification; a short word document is adequate. Once you are finished with edits, you can submit the request by using the same procedure as stated in the [Submitting an ICR](#) section. Once you submit, the ICR will be listed in the submitted request list with a request type of ICR Chg.

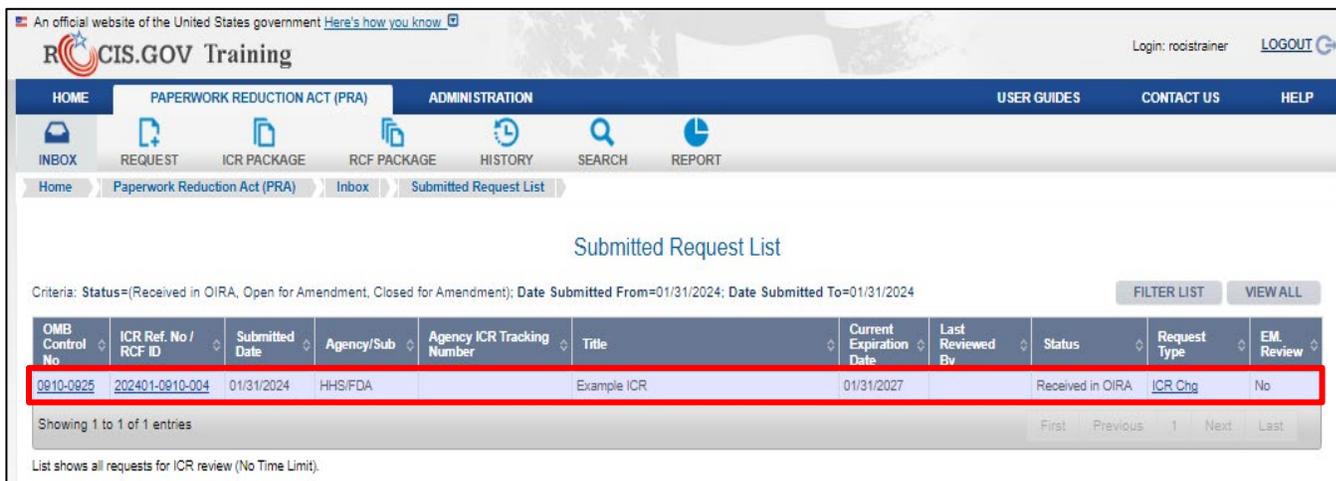


Figure 14.3: Created Request List Screen with Newly Created Request

Requesting an Emergency Extension

An emergency extension is a request that OIRA extends the expiration date on an active information collection for a period of three to six months. Emergency Extensions don't require 60- or 30-day notices so they are limited to 6 months of Approval. It is expected that, during the extended period, the agency will have time to prepare a regular ICR review request for submission to OIRA. As far as OIRA is concerned, their definition of emergency is:

- An act of Congress that requires some action by a specific date
- An act of God that that is preventing some naturally occurring disaster that is preventing your 60 and 30 days notices in the Federal Register.

You may create a Request for Emergency Extension by:

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

View ICR - OIRA Conclusion

[View Information Collection \(IC\) List](#) [View Supporting Statement and Other Documents](#) [\[Expand All\]](#)

BRIEF AND OIRA CONCLUSION

OMB Control No: 0910-0925
Status: Active
Agency/Subagency: HHS/FDA
Title: Example ICR
Type of Information Collection: New collection (Request for a new OMB Control Number)
Type of Review Request: Regular
OIRA Conclusion Action: Approved with change
[Retrieve Notice of Action \(NOA\)](#)
Terms of Clearance:

ICR Reference No: 202401-0910-001
Previous ICR Reference No:
Agency Tracking No:
Conclusion Date: 01/17/2024
Date Received in OIRA: 01/17/2024

	Inventory as of this action	Requested	Previously Approved
Expiration Date	01/31/2027	36 Months From Approved	
Responses	4,000	4,000	0
Time Burden (Hours)	1,333	1,333	0
Cost Burden (Dollars)	7,800	7,800	0

ABSTRACT/JUSTIFICATION
LEGAL STATUTES
RULEMAKING
FR NOTICES / COMMENTS
IC LIST
BURDEN
MISC.
COMMON FORM INFO.
CERTIFICATION

EMERGENCY EXTENSION (EE) DISCONTINUE (D) TRANSFER (T) CREATE ICR PACKAGE PRINT TO PDF

Figure 15.1: Emergency Extension – OIRA Conclusion page

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

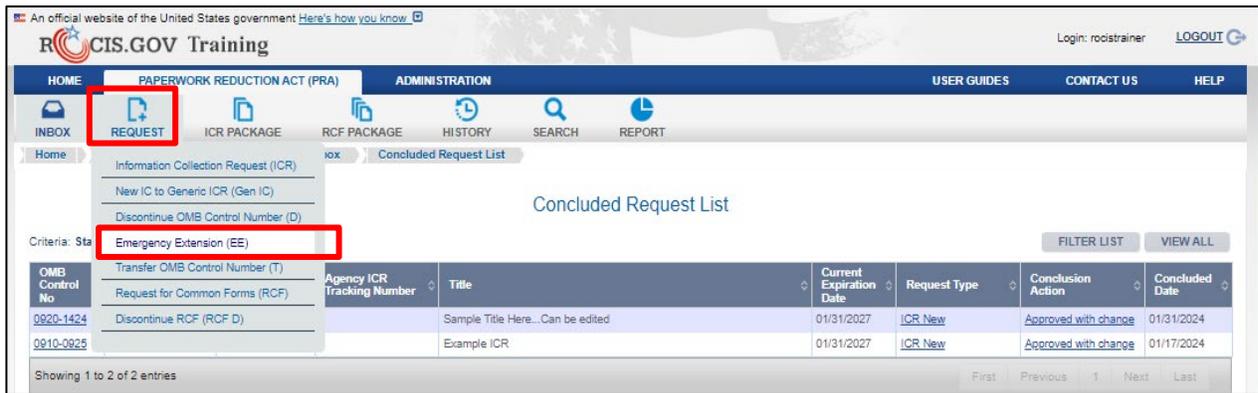


Figure 15.2: Emergency Extension – Request Icon drop-down menu

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.

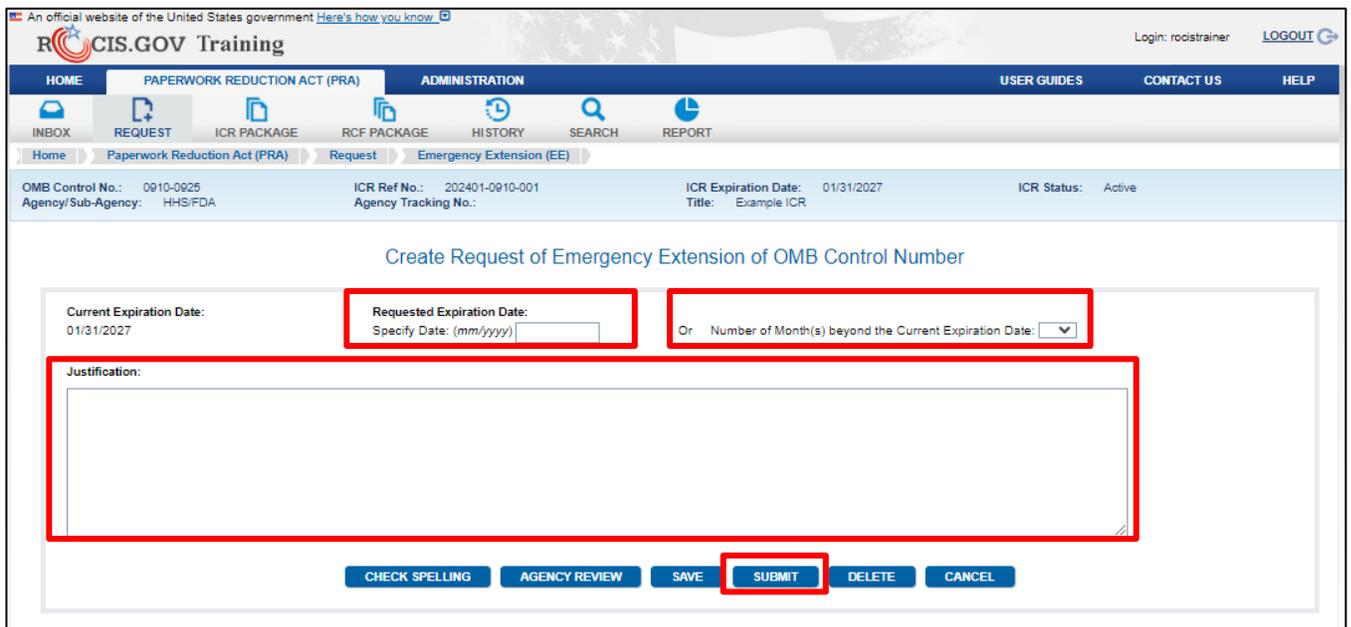


Figure 15.3: Create Emergency Extension Screen

Select either the Requested Expiration Date or the Number of Months beyond the Current Expiration Date. Complete your justification for OMB 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.

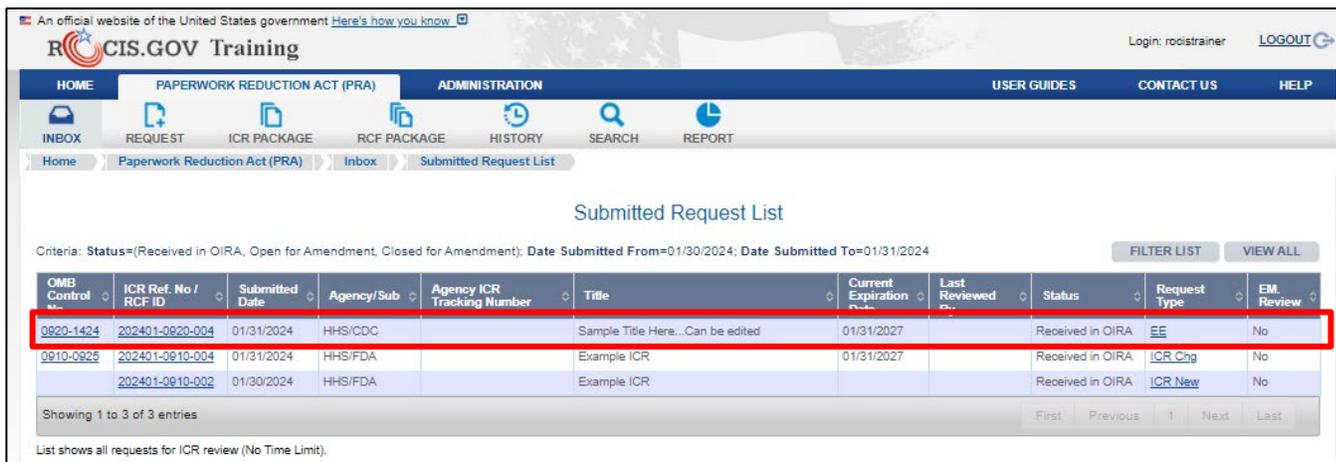


Figure 15.4: Submitted Request List Screen with Newly Submitted Emergency Extension

2. In the second scenario upon selecting Emergency Extension (EE) from the choices under the Request icon in the toolbar. You will receive a screen that prompts you to enter the OMB Control Number.

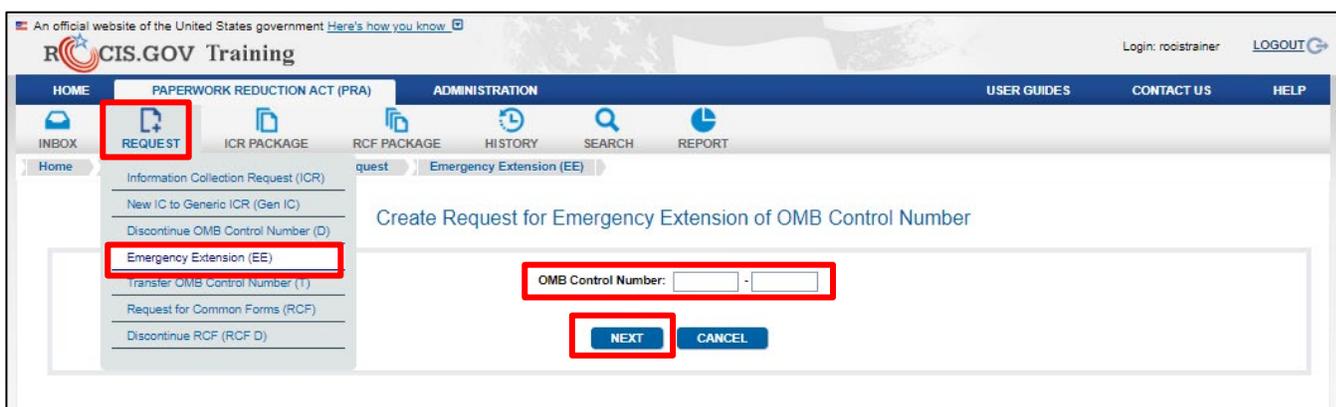


Figure 15.5: Entry of OMB Control Number to Request an Emergency Extension

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.

Requesting to Discontinue an OMB Control Number

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 number and then selecting the Discontinue (D) action button at the bottom of the page, or

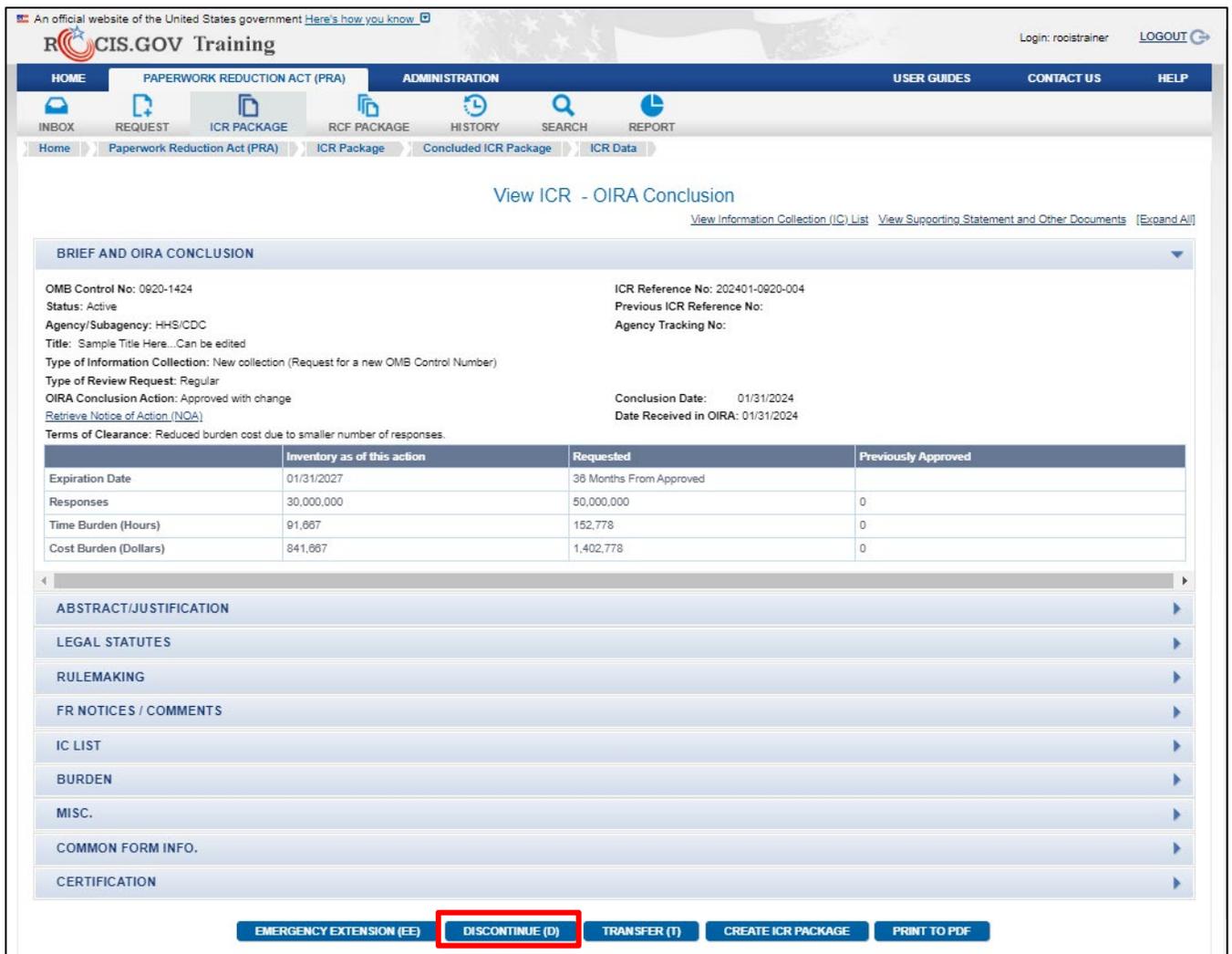


Figure 16.1: Discontinue - OIRA Conclusion page

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

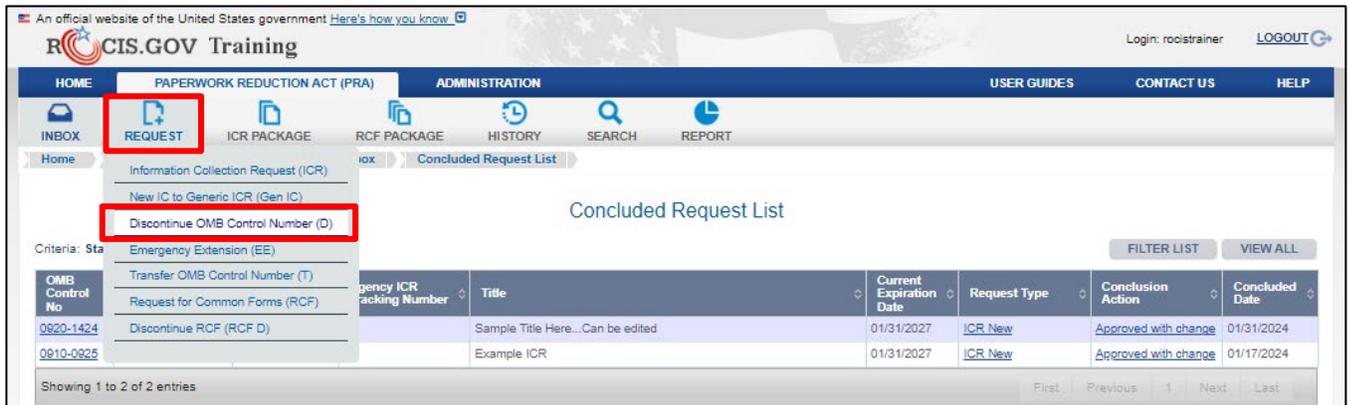


Figure 16.2: Discontinue - Request Icon drop-down menu

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 16.3: Create Request to Discontinue OMB Control Number screen

Complete your justification for OMB 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.

2. In the second scenario upon selecting Discontinue an OMB Control Number (D) from the list of drop-down choices in the Request menu in the navigation toolbar.

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

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

Requesting to Transfer an OMB Control Number

You may create a Request to Transfer in the same menu as creating an ICR. To request a Transfer:

1. Open the View ICR page for the active ICR under the desired OMB Control number and then scroll down to the bottom of the page and click the Transfer (T) action button, or

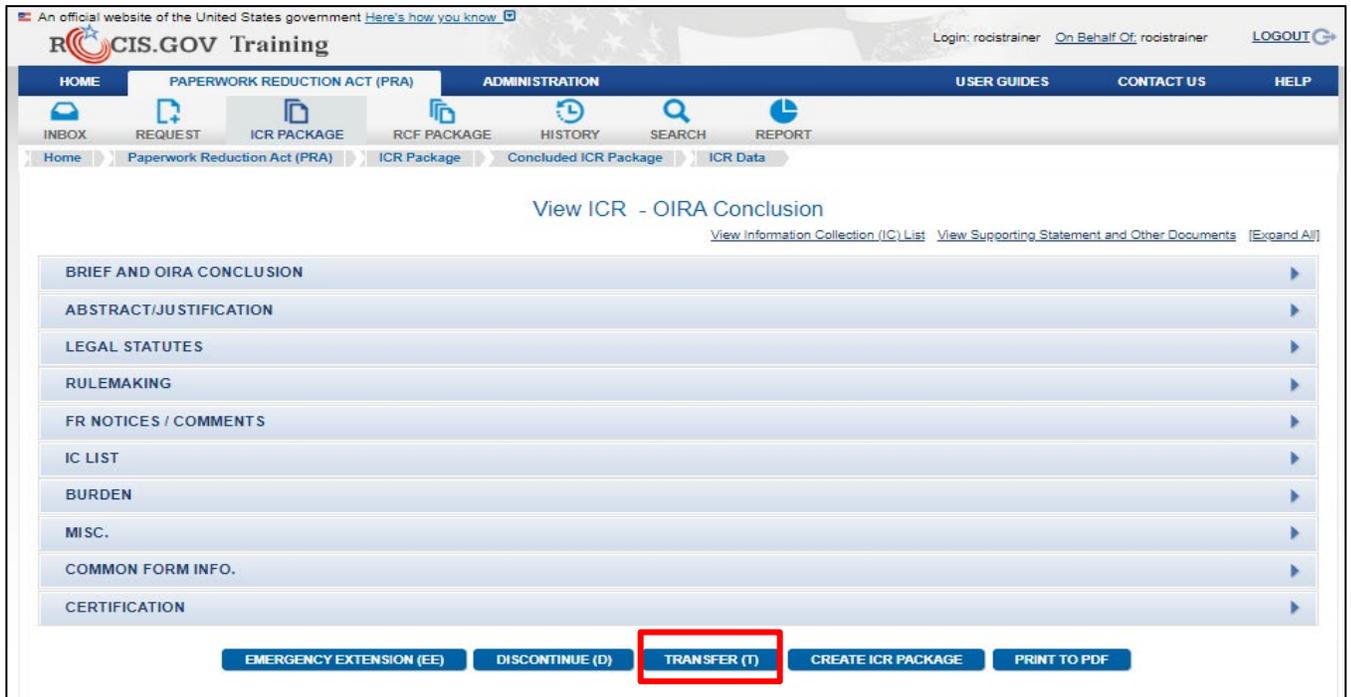


Figure 17.1: Transfer – View ICR - OIRA Conclusion screen

2. Choose Transfer OMB Control Number (T) in the drop-down list in the Request icon menu in the navigation toolbar.

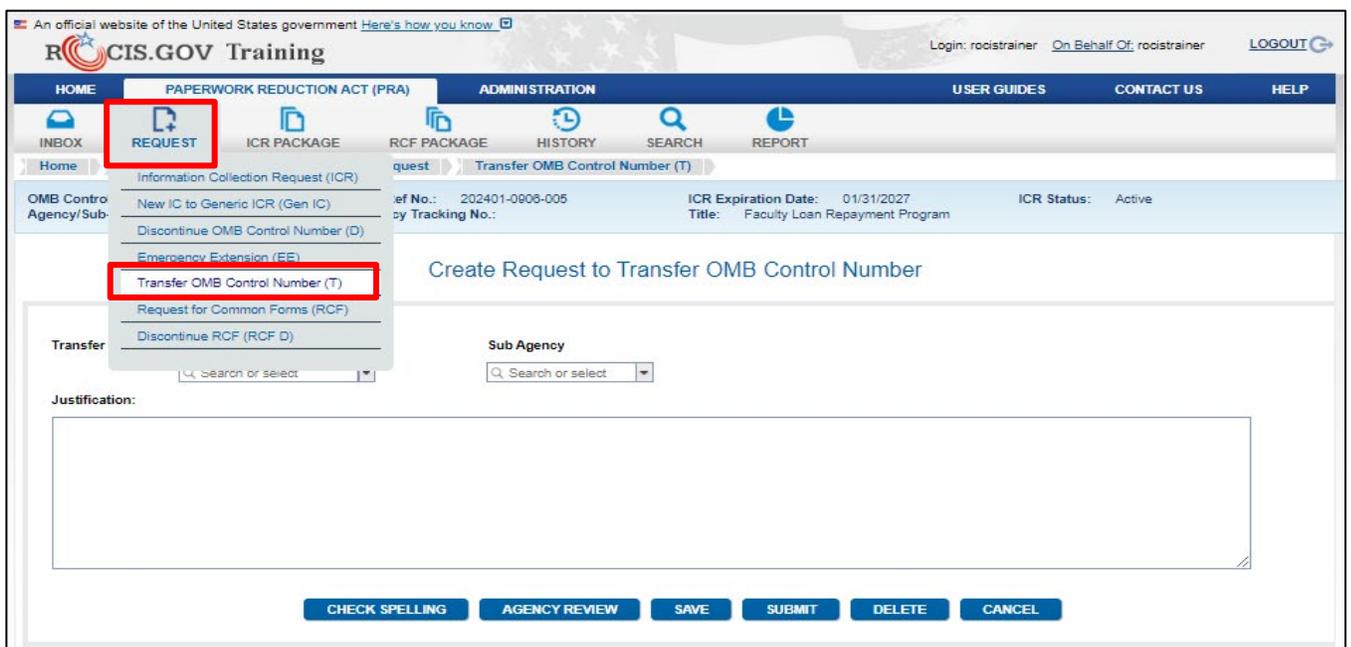


Figure 17.2: Transfer – Request icon menu

In the first scenario, upon selecting the Transfer (T) button at the bottom of the View ICR screen, 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.

After selecting the agency and subagency (if necessary) to which you wish to transfer the OMB Control Number to, you will enter the justification to OMB. 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. Upon submission, the transfer request will appear as a submission in the inboxes of both agencies/sub-agencies involved in the transfer.

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HOME PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION USER GUIDES CONTACT US HELP

INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home Paperwork Reduction Act (PRA) Request Transfer OMB Control Number (T)

OMB Control No.: 0908-0082 ICR Ref No.: 202401-0908-005 ICR Expiration Date: 01/31/2027 ICR Status: Active
Agency/Sub-Agency: HHS/HRSA Agency Tracking No.: Title: Faculty Loan Repayment Program

Create Request to Transfer OMB Control Number

Transfer to: Agency Sub Agency

Justification:

CHECK SPELLING AGENCY REVIEW SAVE **SUBMIT** DELETE CANCEL

Figure 17.3: Transfer – Create Request to Transfer OMB Control Number

In the second scenario, upon selecting Transfer OMB Control Number from the Request icon menu will lead you to a screen that asks you to identify the OMB Control Number of the collection you wish to transfer. The remainder of the process is exactly as stated in the first scenario.

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INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home Paperwork Reduction Act (PRA) Request Transfer OMB Control Number (T)

Create Request to Transfer OMB Control Number

OMB Control Number: -

NEXT CANCEL

Figure 17.4: Transfer – OMB Control Number input screen

Creating a Generic ICR and Requesting Generic ICs

A Generic ICR is for a very specific type of collection, usually associated with surveys. It allows for conducting more than one information collection using very similar methods.

Creating a Generic ICR

The generic ICR is created by selecting Information Collection Request (ICR) in the drop down at the Request menu of the navigation toolbar.



Figure 18.1: Information Collection Request Toolbar Link

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?”

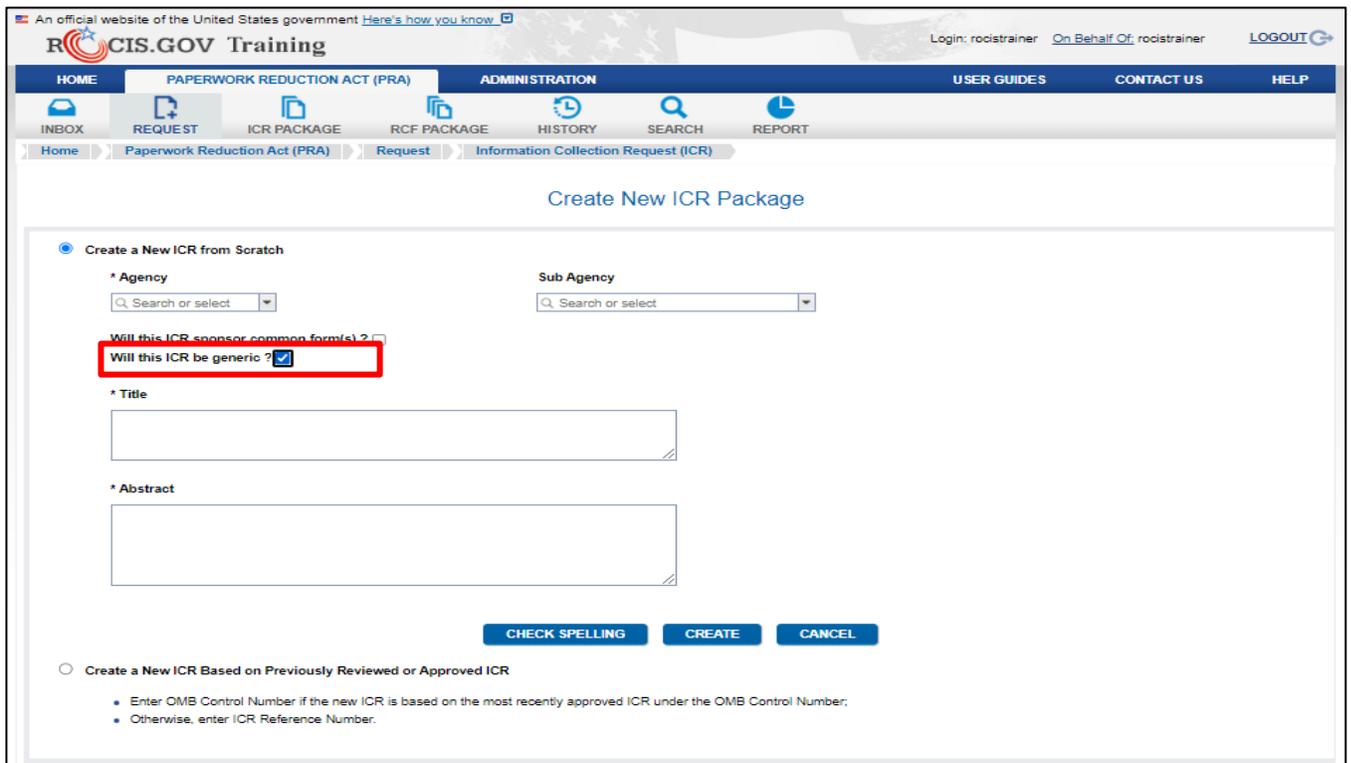


Figure 18.2: Create New ICR from Scratch w/ Generic Option Selected

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INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home Paperwork Reduction Act (PRA) Request Information Collection Request (ICR)

Create New ICR Package

Create a New ICR from Scratch
 Create a New ICR Based on Previously Reviewed or Approved ICR

- Enter OMB Control Number if the new ICR is based on the most recently approved ICR under the OMB Control Number;
- Otherwise, enter ICR Reference Number.

Will this ICR sponsor common form(s) ?

Will this ICR be generic ?

OMB Control Number: - Or ICR Reference Number: - -

CREATE **CANCEL**

Figure 18.3: Create New ICR Based on a Previously Reviewed/Approved ICR w/ 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.

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HOME PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION USER GUIDES CONTACT US HELP

INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home Paperwork Reduction Act (PRA) Request Information Collection Request (ICR)

Create New Generic ICR Package

Create a new generic ICR for OMB Control Number: "0920-1154"

Will this be a non-substantive change request? Yes No

CONTINUE **CANCEL**

Figure 18.4: New Generic ICR -Will this be a non-substantive change request screen

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

1. First, you will be able to request the number of responses, the hour burden and cost burden by entering the request directly into the Requested column. The numbers entered should be the total that your agency will require over the period of the request (usually 3 years).
2. Second, you will have to tell ROCIS if your ICR is related to A-11 Section 280: Managing Customer Experience and Improving Service Delivery.

BRIEF

Agency: 0920 CDC
 OMB Control Number: 0920-1154
 Common Form ICR: No
 Request Number: 0920-1154
 Number: 202402-0920-001
 Previous ICR Reference Number: 202210-0920-013

Does this ICR contain surveys, censuses, or employ statistical methods? Yes No

Does this ICR include a form that requires a Privacy Act Statement (see 5 U.S.C. 552a(g)(3))? Please consult with your agency's privacy program when making this determination Yes No

Is this ICR related to the Pandemic Response? Yes No

Is this ICR related to the Affordable Care Act (PPACA, P.L. 111-148 & 111-152)? Yes No

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

Is this ICR related to the American Recovery and Reinvestment Act of 2009 (ARRA)? Yes No

Is this ICR related to A-11 Section 280: Managing Customer Experience and Improving Service Delivery? Yes No

Agency Contact: Clunias, Odion - 140402 [ADD NEW CONTACT](#)

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
Total Number of Responses	75000	0	0	0	0	75000
Total Time Burden (Hr)	60000	0	0	0	0	60000
Total Cost Burden (\$)	0	0	0	0	0	0

Citations for New Statutory Requirements (Changes of Agency Burden is a Program Change Due to New Statute.)

[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

[Add/Edit Supporting Statement and Other Documents](#)

[CHECK SPELLING](#) [IC LIST](#) [AGENCY REVIEW](#) [SAVE](#) [CHECK FOR COMPLETENESS](#) [LOCK](#) [SUBMIT](#) [DELETE](#) [CANCEL](#) [PRINT TO PDF](#)

Figure 18.5: Edit Generic ICR – Requested Burden and Survey Question

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.

How to Create a Generic IC

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



Figure 18.6: New IC to Generic ICR menu option

Enter the OMB Control Number of the Generic ICR and click Next. This will take you to 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.

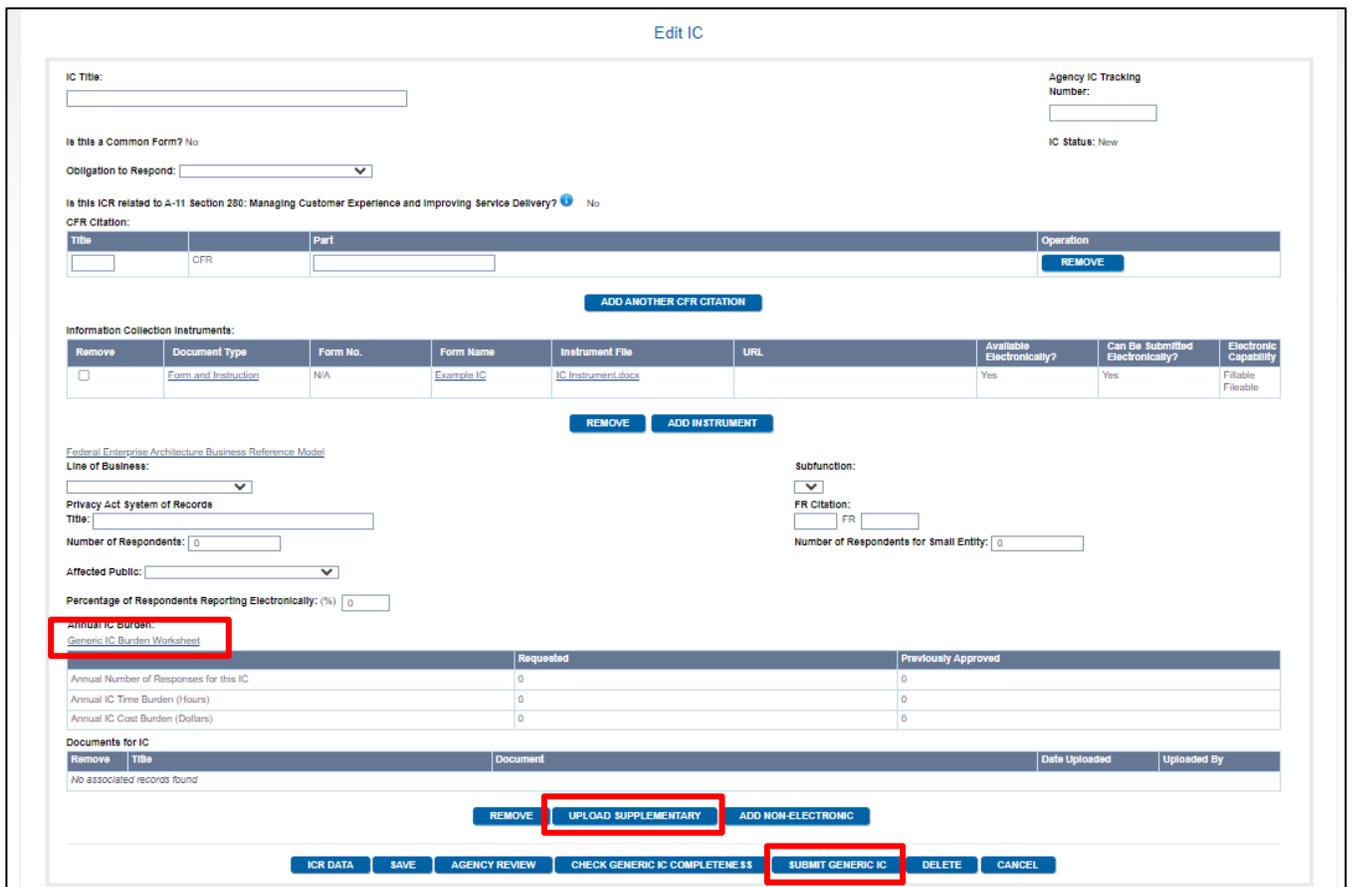


Figure 18.7: Add New Generic IC to Existing OMB Control Number

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.

Creating an ICR that Hosts Common Forms

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.

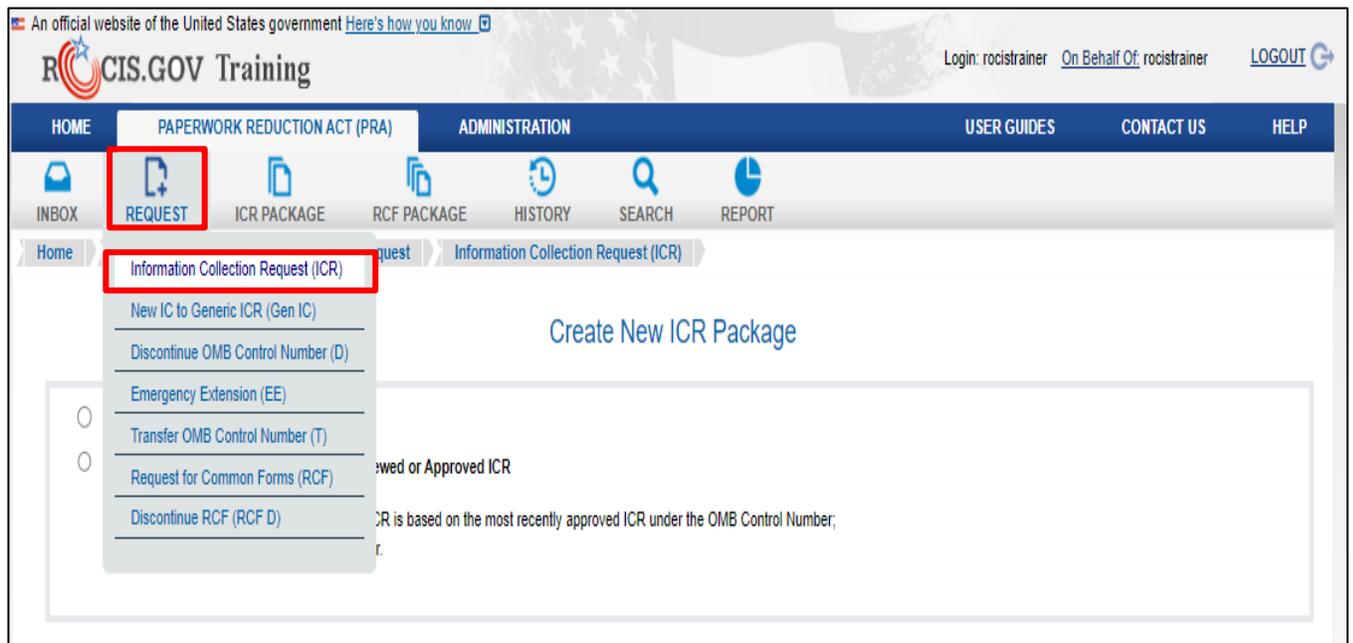


Figure 19.1: New ICR from Scratch with Toolbar Link

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.

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INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home Paperwork Reduction Act (PRA) Request Information Collection Request (ICR)

Create New ICR Package

Create a New ICR from Scratch
 Create a New ICR Based on Previously Reviewed or Approved ICR

- Enter OMB Control Number if the new ICR is based on the most recently approved ICR under the OMB Control Number;
- Otherwise, enter ICR Reference Number.

Will this ICR sponsor common form(s) ?
 Will this ICR be generic ?

OMB Control Number: - Or ICR Reference Number: - -

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.

1. 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.
2. 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.

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INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home Paperwork Reduction Act (PRA) ICR Package Current ICR Package ICR Data

Edit Host ICR

[Edit Information Collection \(IC\) List](#) [Add/Edit Supporting Statement and Other Documents](#) [\[Collapse All\]](#)

BRIEF

Agency: 0910 FDA OMB Control Number: Common Form ICR: Yes

Agency ICR Tracking Number: ICR Reference Number: 202402-0910-001 Previous ICR Reference Number:

Title: Example Host Form

Type of Information Collection (check one): New collection (Request for a new OMB Control Number) Type of Review Requested (check one):

Requested Expiration Date (check one):

Does this ICR contain surveys, censuses, or employ statistical methods? Yes No

Does this ICR request any personally identifiable information (see [OMB Circular No. A-130](#) for an explanation of this term)? Please consult with your agency's privacy program when making this determination Yes No

Does this ICR include a form that requires a Privacy Act Statement (see [5 U.S.C. §552a\(e\)\(3\)](#))? Please consult with your agency's privacy program when making this determination Yes No

Is this ICR related to the Pandemic Response? Yes No

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

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

Is this ICR related to the American Recovery and Reinvestment Act of 2009 (ARRA)? Yes No

Agency Contact: Search or select

ABSTRACT

Abstract (4000 characters maximum):

Test

Description/Changes for Common Form Usage (4000 characters maximum):

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

Like 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.

1. 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.
2. 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.

Edit Common Form IC

IC Title: Agency IC Tracking Number:

Is this a Common Form? Yes IC Status: New

Obligation to Respond:

CFR Citation:

Title	Part	Operation
<input type="text"/>	CFR	<input type="text"/> REMOVE

[ADD ANOTHER CFR CITATION](#)

Information Collection Instruments:

Remove	Document Type	Form No.	Form Name	Instrument File	URL	Available Electronically?	Can Be Submitted Electronically?	Electronic Capability
<input type="checkbox"/>	Form and Instruction	Example Form	N/A	IC Instrument.docx		Yes	Yes	Fillable Fileable

[REMOVE](#) [ADD INSTRUMENT](#)

Federal Enterprise Architecture Business Reference Model

Line of Business: Subfunction:

Privacy Act System of Records Title:

FR Citation: FR

Number of Respondents: Number of Respondents for Small Entity:

Affected Public:

Percentage of Respondents Reporting Electronically: (%)

Annual IC Burden: (Select appropriate IC Burden Worksheet)
This ICR Requests Change in Net 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 for this IC	0	0	0	0	0	0
Annual IC Time Burden (Hours)	0	0	0	0	0	0
Annual IC Cost Burden (Dollars)	0	0	0	0	0	0

Documents for IC

Remove	Title	Document	Date Uploaded	Uploaded By
No associated records found				

[REMOVE](#) [UPLOAD SUPPLEMENTARY](#) [ADD NON-ELECTRONIC](#)

[ICR DATA](#) [SAVE](#) [CHECK IC COMPLETENESS](#) [DELETE](#) [CANCEL](#)

Figure 19.4: Edit Common Form IC Screen with ICIs

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.

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INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home > Paperwork Reduction Act (PRA) > ICR Package > Concluded ICR Package > ICR Data

View Host ICR - OIRA Conclusion

[View Information Collection \(IC\) List](#) [View Supporting Statement and Other Documents](#) [\(Expand All\)](#)

BRIEF AND OIRA CONCLUSION	▶
ABSTRACT/JUSTIFICATION	▶
LEGAL STATUTES	▶
RULEMAKING	▶
FR NOTICES / COMMENTS	▶
IC LIST	▶
BURDEN	▶
MISC.	▶
COMMON FORM INFO.	▶
CERTIFICATION	▶

[EMERGENCY EXTENSION \(EE\)](#) [CREATE HOST ICR PACKAGE](#) [CONVERT TO REGULAR ICR](#) [PRINT TO PDF](#)

Figure 19.5: View Host ICR – OIRA Conclusion with associated RCFs

Additional Information on Common Form ICRs

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 if 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.

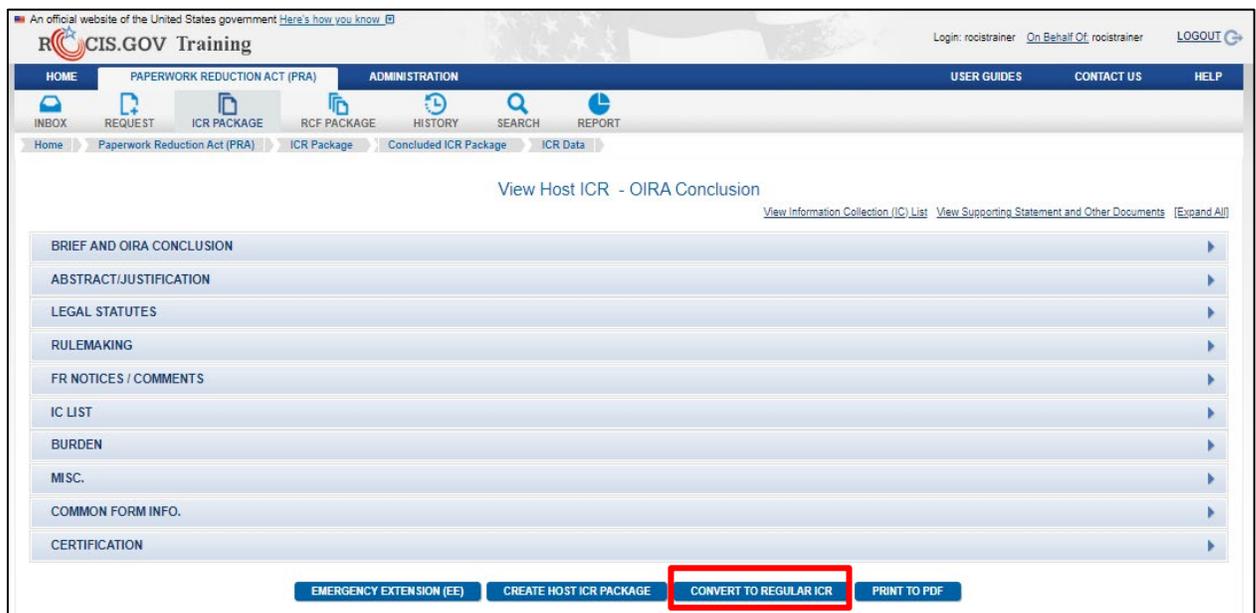


Figure 19.6: View Host ICR – OIRA Conclusion with Conversion Button

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.

Creating a Request for Common Forms

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.

Searching for Common Forms

You can search for common forms currently approved for use but going to the Search icon in the Navigation toolbar and clicking the Common Form Search option.

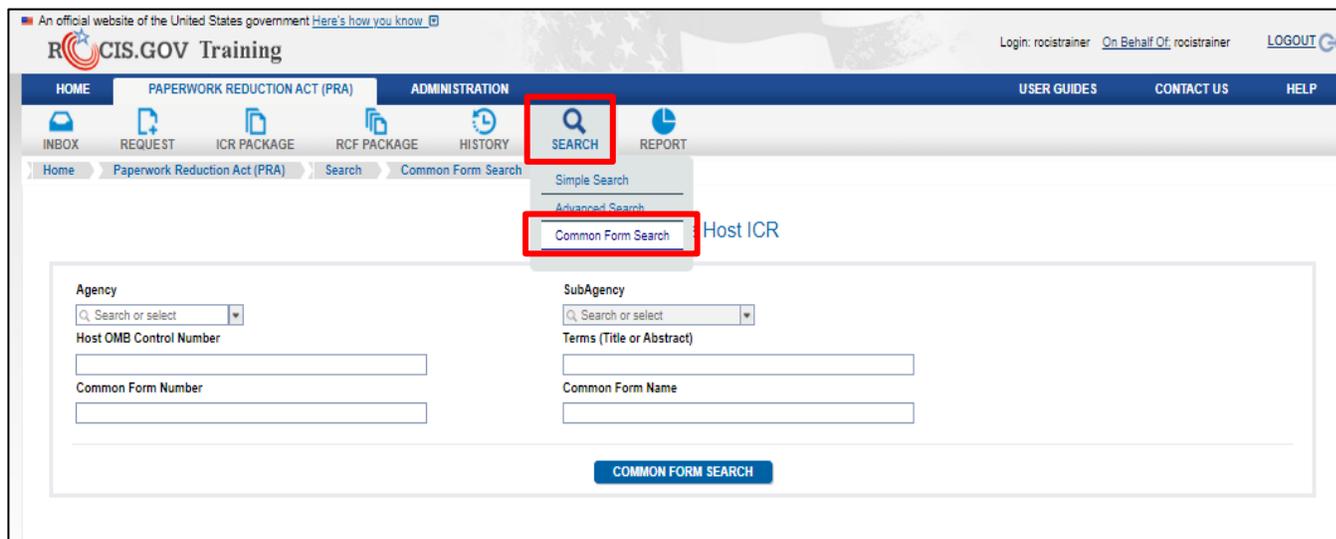


Figure 20.1: How to access the Search for Common Forms

You can search by agency, subagency, OMB Control Number, Common Form Number, terms within the Title or Abstract, or Common Form Name. You can also click the Common Form Search button and it will show you all active Common Forms.

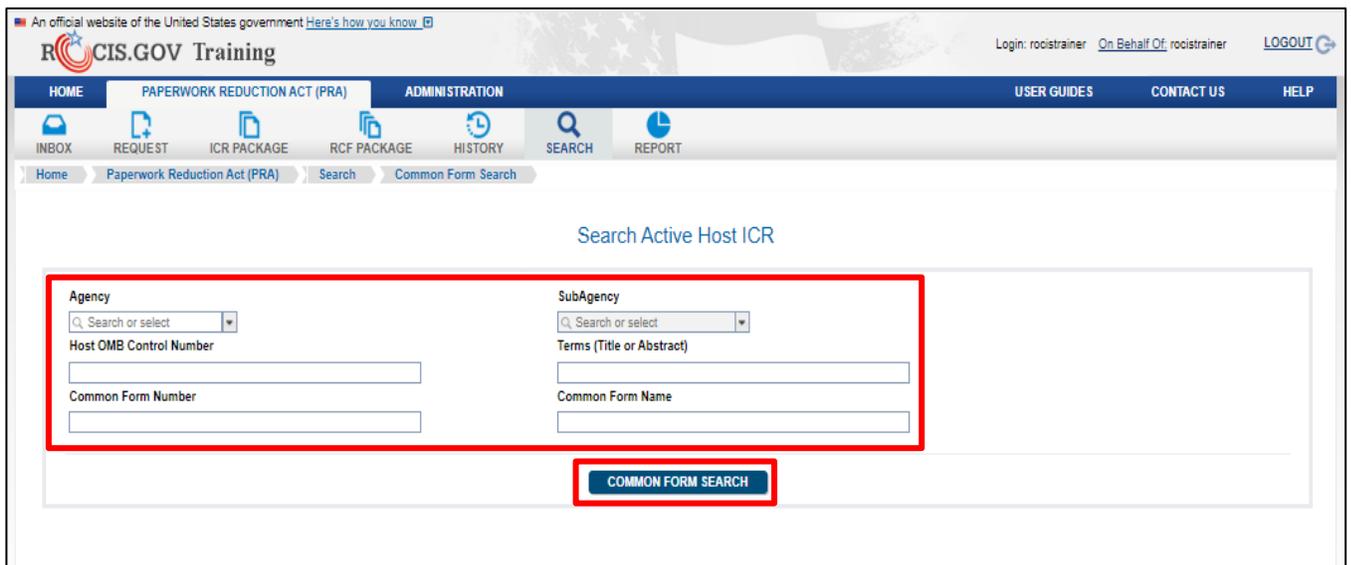


Figure 20.2: Searching for Common Forms

Once you click the Common Form Search button, you will be given a list of current common forms in a table. ROCIS will show 10 entries at a time, and you can scroll through different pages by clicking on the table navigation buttons at the bottom. You can also click the View All button to view them all at once.

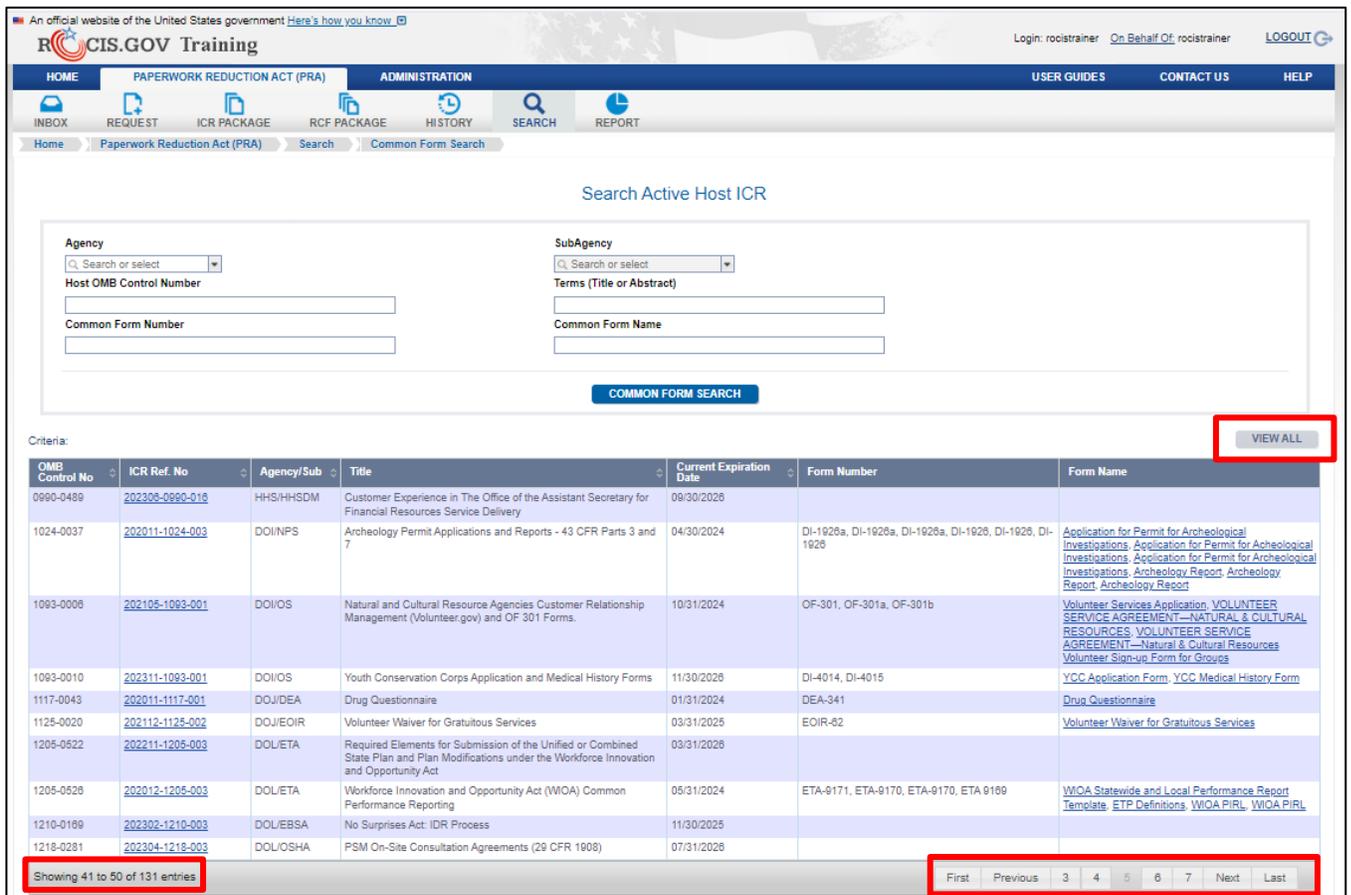


Figure 20.3: Searching for Common Forms

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ROCIS.GOV Training Login: roctrainer On Behalf Of: roctrainer LOGOUT

HOME PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION USER GUIDES CONTACT US HELP

INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home Paperwork Reduction Act (PRA) Search Common Form Search

Search Active Host ICR

Agency

Host OMB Control Number

Common Form Number

SubAgency

Terms (Title or Abstract)

Common Form Name

COMMON FORM SEARCH

Criteria: VIEW ALL

OMB Control No	ICR Ref. No	Agency/Sub	Title	Current Expiration Date	Form Number	Form Name
0990-0489	202306-0990-016	HHS/HHSMD	Customer Experience in The Office of the Assistant Secretary for Financial Resources Service Delivery	09/30/2026		
1024-0037	202011-1024-003	DOI/NPS	Archeology Permit Applications and Reports - 43 CFR Parts 3 and 7	04/30/2024	DI-1926a, DI-1926a, DI-1926a, DI-1926, DI-1926	Application for Permit for Archeological Investigations, Application for Permit for Archeological Investigations, Application for Permit for Archeological Investigations, Archeology Report, Archeology Report, Archeology Report
1093-0009	202105-1093-001	DOI/OS	Natural and Cultural Resource Agencies Customer Relationship Management (Volunteer.gov) and OF 301 Forms.	10/31/2024	OF-301, OF-301a, OF-301b	Volunteer Services Application, VOLUNTEER SERVICE AGREEMENT—NATURAL & CULTURAL RESOURCES, VOLUNTEER SERVICE AGREEMENT—Natural & Cultural Resources, Volunteer Sign-up Form for Groves
1093-0010	202311-1093-001	DOI/OS	Youth Conservation Corps Application and Medical History Forms	11/30/2026	DI-4014, DI-4015	YCC Application Form, YCC Medical History Form
1117-0043	202011-1117-001	DOJ/DEA	Drug Questionnaire	01/31/2024	DEA-341	Drug Questionnaire
1125-0020	202112-1125-002	DOJ/EOIR	Volunteer Waiver for Gratuitous Services	03/31/2025	EOIR-62	Volunteer Waiver for Gratuitous Services
1205-0522	202012-1205-003	DOL/ETA	Required Elements for Submission of the Unified or Combined State Plan and Plan Modifications under the Workforce Innovation and Opportunity Act	03/31/2026		
1205-0526	202012-1205-003	DOL/ETA	Workforce Innovation and Opportunity Act (WIOA) Common Performance Reporting	05/31/2024	ETA-9171, ETA-9170, ETA-9170, ETA 9169	WIOA Statewide and Local Performance Report Template, ETP Definitions, WIOA PIR, WIOA PIR
1210-0169	202302-1210-003	DOL/EBSA	No Surprises Act: IDR Process	11/30/2025		
1218-0281	202304-1218-003	DOL/OSHA	PSM On-Site Consultation Agreements (29 CFR 1908)	07/31/2026		

Showing 41 to 50 of 131 entries

First Previous 3 4 5 6 7 Next Last

Figure 20.4: Viewing Common Forms

To view a form, click on the link in the Form Name column, it will download a copy of the form to your downloads folder. To view the host ICR, click on the ICR Reference Number in the ICR Ref No column. Once you click on the link, a pop-up will appear showing you Host ICR OIRA Conclusion.

View Host ICR - OIRA Conclusion

OMB Control No: 1125-0020	ICR Reference No: 202112-1125-002
Status: Active	Previous ICR Reference No:
Agency/Subagency: DOJ/EOIR	Agency Tracking No: EOIR-62
Title: Volunteer Waiver for Gratuitous Services	
Type of Information Collection: New collection (Request for a new OMB Control Number)	
Type of Review Request: Regular	
OIRA Conclusion Action: Approved with change	Conclusion Date: 03/21/2022
Common Form ICR: Yes	Date Received in OIRA: 01/28/2022
Terms of Clearance: OIRA appreciates the option to allow for electronic submission but requests that, ahead of the next renewal, the agency engages with OMB to update on potential progress towards accepting digital signatures.	

	Inventory as of this action	Requested	Previously Approved
Expiration Date	03/31/2025	36 Months From Approved	
Responses	200	200	0
Time Burden (Hours)	17	17	0
Cost Burden (Dollars)	0	0	0

Abstract: Waiver to provide gratuitous services without expectation of payment or future pay claims against the government in accordance with the Anti-Deficiency Act

Authorizing Statute(s): US Code: [31 USC 1342](#) Name of Law: Anti-Deficiency Act

Citations for New Statutory Requirements: None

Associated Rulemaking Information

RIN:	Stage of Rulemaking:	Federal Register Citation:	Date:
	Not associated with rulemaking		

Federal Register Notices & Comments

60-day Notice:	Federal Register Citation:	Citation Date:
	98 FR 68592	11/23/2021
30-day Notice:	Federal Register Citation:	Citation Date:
	87 FR 4858	01/28/2022

Figure 20.4: Viewing Host ICR Information

Creating a New Request for Common Forms

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

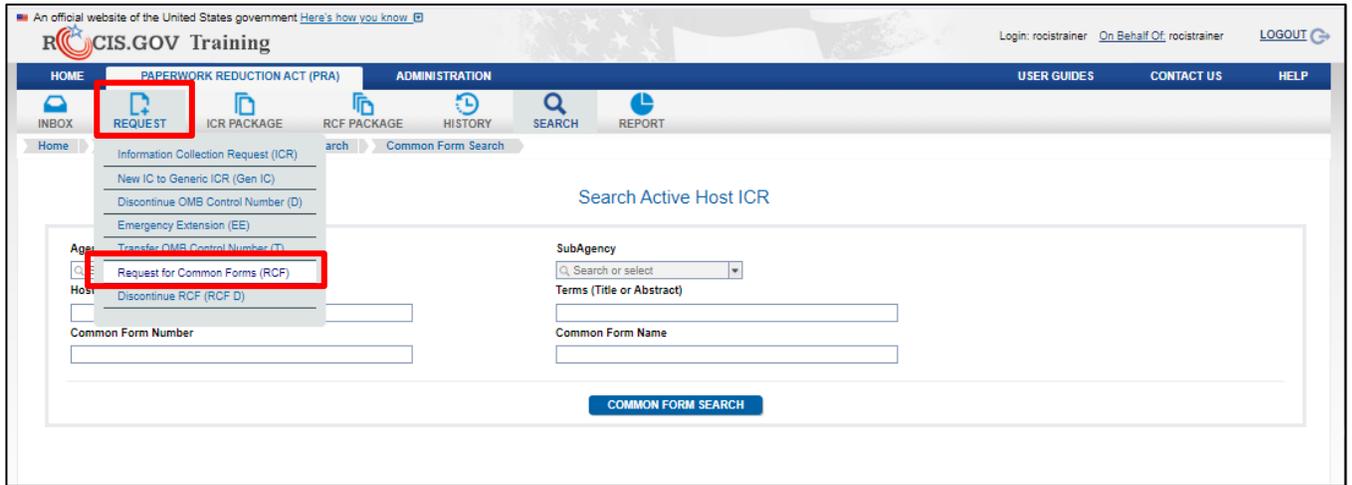


Figure 20.5: Toolbar RCF Link

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.

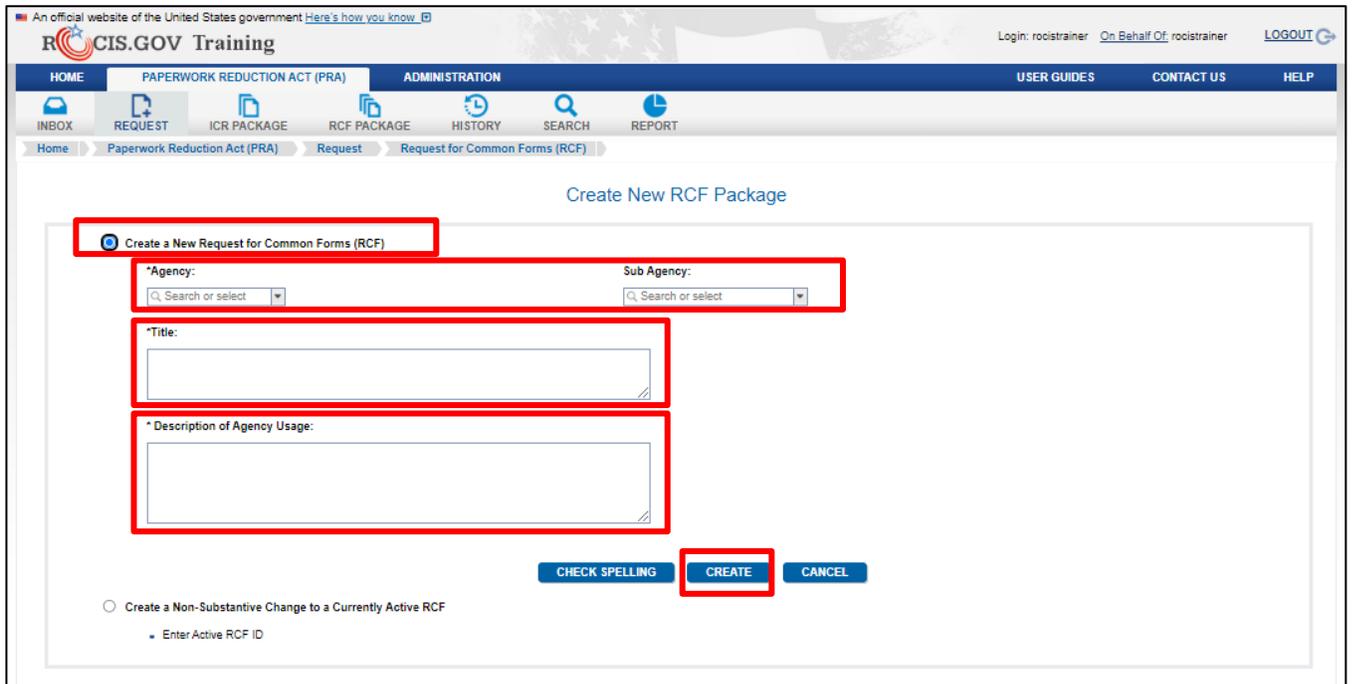


Figure 20.6: Create New RCF Package Screen

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 (see [Common Form Search](#) for more information).

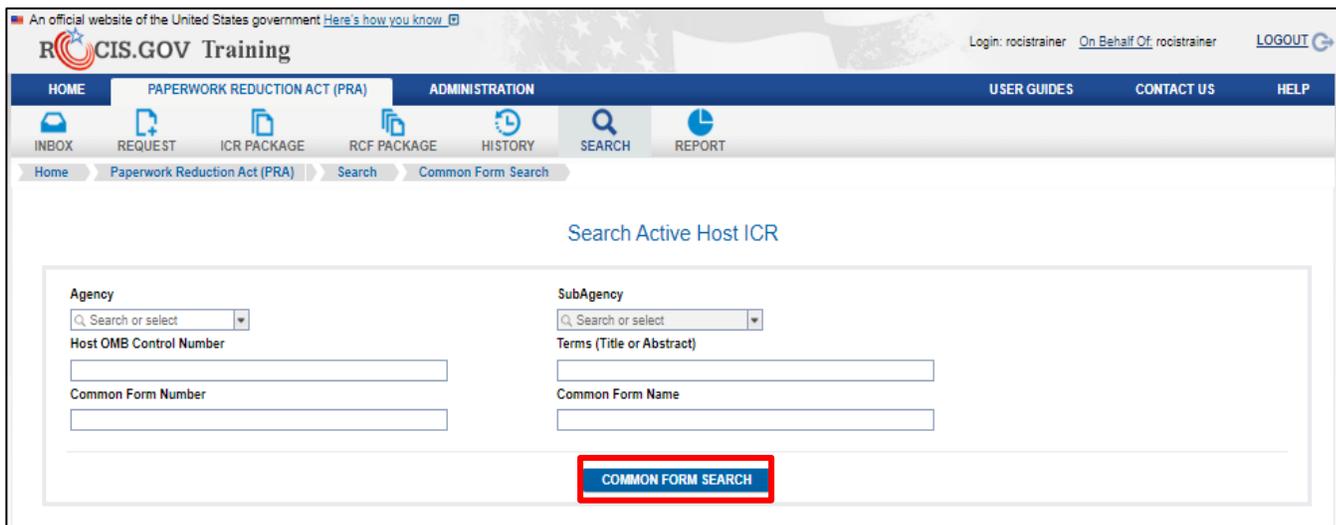


Figure 20.7: Search Active Host ICR

ROCIS will then return a list of currently active Host ICRs that meet your criteria. Once you have identified the correct host ICR from the list, select its radio button in the left column and click the Continue button.

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.

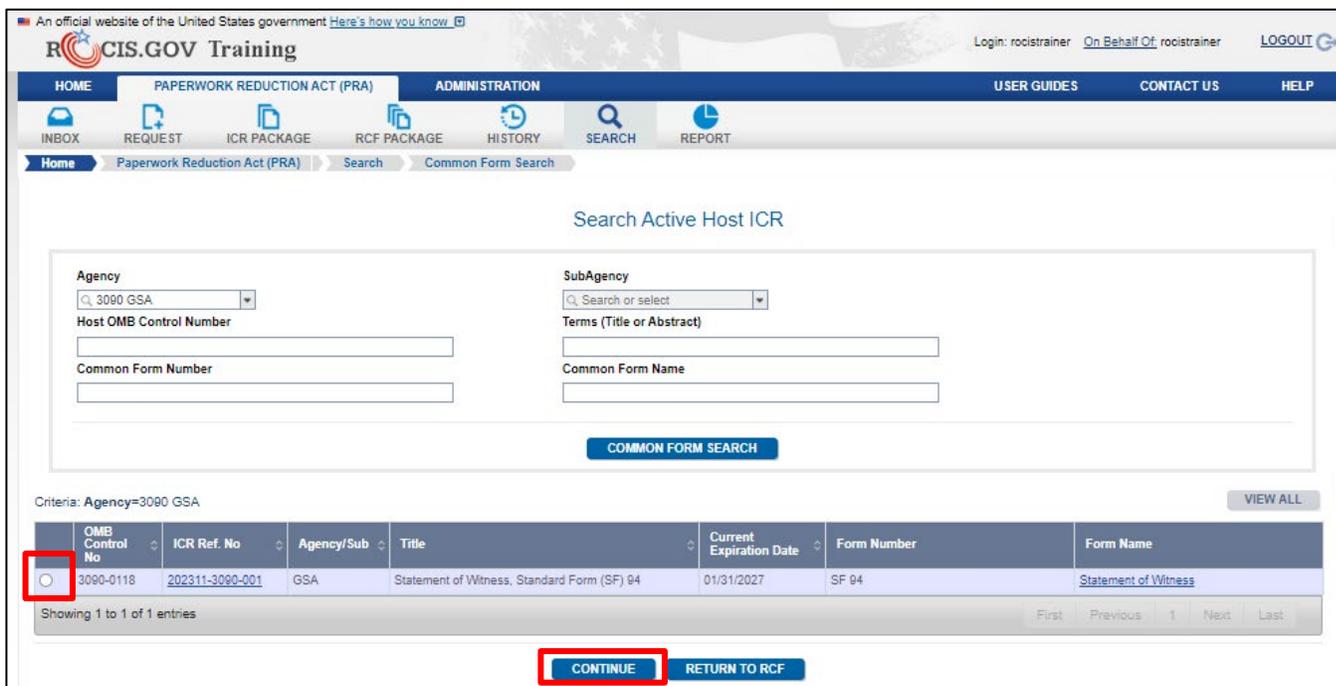


Figure 20.8: Search Active Host ICR Screen with Search Results

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 one common form IC that can be requested as part of the RCF. If there are multiple ICs to choose from, 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 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 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.

The screenshot shows the ROCIS Training interface. At the top, there is a navigation bar with 'HOME', 'PAPERWORK REDUCTION ACT (PRA)', 'ADMINISTRATION', 'USER GUIDES', 'CONTACT US', and 'HELP'. Below this is a secondary navigation bar with 'INBOX', 'REQUEST', 'ICR PACKAGE', 'RCF PACKAGE', 'HISTORY', 'SEARCH', and 'REPORT'. The main content area displays details for a selected RCF, including RCF ID, Agency/Sub-Agency, Request Status, Host OMB Ctl. No., Agency Tracking No., Last Event, Host ICR Ref No., RCF Title, Last Event User, Host ICR Exp. Date, and Last Event Date. Below this is a table titled 'Common Form IC for OMB 3090-0118' with the following data:

IC Title	Form Number	Form Name	Affected Public
<input checked="" type="checkbox"/> Statement of Witness, Standard Form (SF) 94	SF 94	Statement of Witness	Federal Government

Below the table are two buttons: 'ADD TO RCF' (highlighted with a red box) and 'RETURN TO RCF'.

Figure 20.9: ICs Available for Use from the Selected Host ICR

Completing the Fields of the EDIT RCF Screen

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. 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 like 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. 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.

Adding Additional ICs

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.

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INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home Paperwork Reduction Act (PRA) RCF Package Current RCF Package

Edit RCF

Agency: 0910 FDA RCF ID: 202402-0910-001CF Previous RCF ID:

Host OMB Control Number: 3090-0118 Host ICR Reference Number: 202311-3090-001 Host ICR Expiration Date: 01/31/2027

Description/Changes for Common Form Usage:

Title: Agency RCF Tracking Number:

Description of Agency Usage (4000 characters maximum):

Agency Contact: Annual Cost to Federal Government: \$

Authorizing Statute(s):

Common Form IC(s) in this RCF: (To edit the usage of an IC, click on IC Title. To view the host IC, click on View Host IC.)

Remove	IC Title	Status	Responses	Hours	Dollars	Document Type	Form No.	Form Name	View
<input type="radio"/>	Statement of Witness, Standard Form (SF) 94	New	0	0	0	Form and Instruction	SF 94	Statement of Witness	View Host IC

RCF 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	0	0	0	0	0	0
Annual Time Burden (Hr)	0	0	0	0	0	0
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.)

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

Figure 20.10: Edit RCF Screen

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 C](#) 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. Enter the name of the SOR and the FR Citation for the SORN.

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. Facsimile is not considered an electronic submission.

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.

An official website of the United States government [Here's how you know.](#)

ROCIS.GOV Training Login: roctrainer On Behalf Of: roctrainer LOGOUT

HOME PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION USER GUIDES CONTACT US HELP

INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home Paperwork Reduction Act (PRA) RCF Package Current RCF Package

RCF ID: 202402-0910-001CF Host OMB Ctl. No.: 3090-0118 Host ICR Ref No.: 202311-3090-001 Host ICR Exp. Date: 01/31/2027
 Agency/Sub-Agency: HHS/FDA Agency Tracking No.: RCF Title: Example RCF Last Event User: Trainer, Rocis
 Request Status: Created Last Event: Created Last Event Date: 02/09/2024

Edit RCF IC

Common Form IC Title: Statement of Witness: Standard Form (SF) 94 IC Status: New

Information Collection Instruments:

Document Type	Form No.	Form Name	Instrument File	URL	Available Electronically?	Can Be Submitted Electronically?	Electronic Capability
Form and Instruction	SF 94	Statement of Witness	SF 94 2020 draft.pdf		Yes	Yes	Fillable Fileable

Obligation to Respond: Agency RCF IC Tracking Number:

[Federal Enterprise Architecture Business Reference Model](#)
 Line of Business: Subfunction:

Privacy Act System of Records
 Title:
 Number of Respondents: FR Citation: FR
 Number of Respondents for Small Entity:

Affected Public:

Percentage of Respondents Reporting Electronically: (%)

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	0	0	0	0	0	0
Annual IC Time Burden (Hours)	0	0	0	0	0	0
Annual IC Cost Burden (Dollars)	0	0	0	0	0	0

RCF DATA SAVE CHECK IC COMPLETENESS DELETE CANCEL

Figure 20.11: Edit RCF IC Screen

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,” you will need to complete the “frequency of reporting” schedule next to the “Burden per Response” box. Choose as many as apply as 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.

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: 5
 Number of Responses per Respondent: per Time Period:
 Annual Frequency: 1.0 Annual Number of Responses: 5

Burden per Response:

	Time Per Response	Hours	Cost Per Response
Reporting	0.33 Hours	0.332952	280.00
Record Keeping	0.00 Hours	0	0.00
Third Party Disclosure	0.00 Hours	0	0.00
Total		0.33	280.00

Frequency of Reporting:

BE DD
 DE HH
 MM OC
 ON QQ
 SA WW
 YY

Annual Burden:

	Annual Time Burden (Hours)	Annual Cost Burden (Dollars)
Reporting	1.86	1,400
Record Keeping	0.00	0
Third Party Disclosure	0.00	0
Total	2	1400

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	<input type="text" value="5"/>	<input type="text" value="0"/>	<input type="text" value="5"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>
Annual IC Time Burden (Hour)	<input type="text" value="2"/>	<input type="text" value="0"/>	<input type="text" value="2"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>
Annual IC Cost Burden (Dollars)	<input type="text" value="1400"/>	<input type="text" value="0"/>	<input type="text" value="1400"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>

Figure 20.12: 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.

RCF 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	5	0	5	0	0	0
Annual Time Burden (Hr)	2	0	2	0	0	0
Annual Cost Burden (\$)	1,400	0	1,400	0	0	0

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

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

Burden Increase Due to:

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

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. (4000 characters maximum))

Figure 20.13: Edit RCF with Burden Change Details

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

RCF 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	5	0	5	0	0	0
Annual Time Burden (Hr)	2	0	2	0	0	0
Annual Cost Burden (\$)	1,400	0	1,400	0	0	0

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

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

Burden Increase Due to:

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

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. (4000 characters maximum))

Figure 20.14: Edit RCF with Submit Button

Updating an Active Request for Common Forms

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.

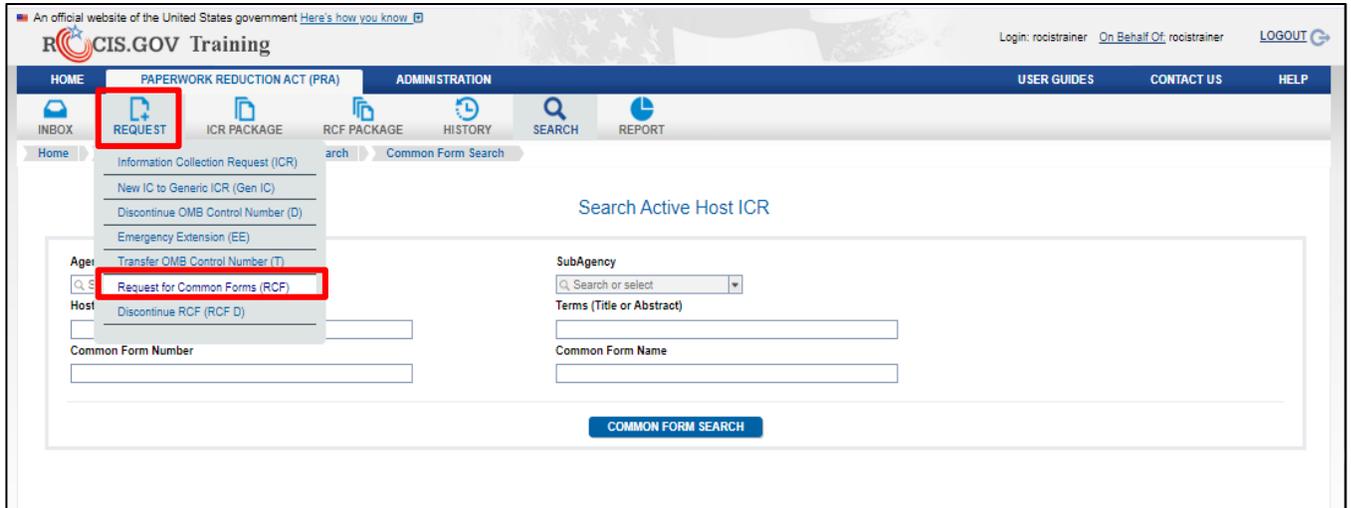


Figure 21.1: Toolbar Link to Create an RCF

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.

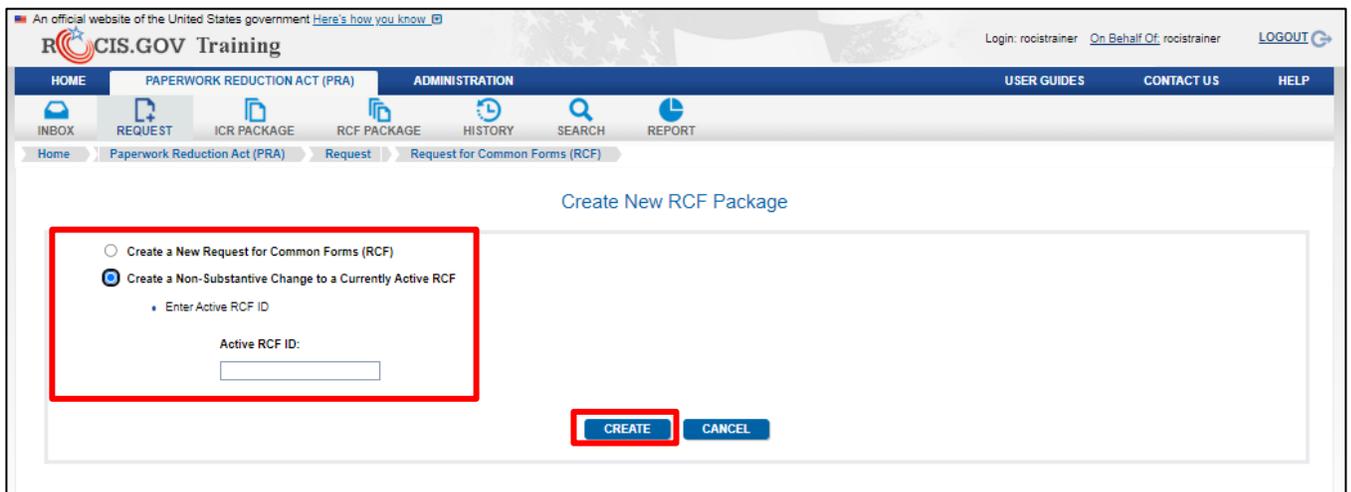


Figure 21.2: Create New RCF Package with Non-Substantive Change selected

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

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HOME PAPERWORK REDUCTION ACT (PRA) ADMINISTRATION USER GUIDES CONTACT US HELP

INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home Paperwork Reduction Act (PRA) RCF Package Concluded RCF Package

View RCF - OIRA Conclusion

RCF ID: 202212-0930-001CF
Status: Active
Agency/Subagency: HHS/SAMHSA
Host OMB Control No.: 3145-0271
Title: Standard Application Process Portal
Type of RCF: RCF New
OIRA Conclusion Action: Approved without change
[Retrieve Notice of Action \(NOA\)](#)
Terms of Clearance:
Description of Agency Usage: The Foundations for Evidence-Based Policymaking Act (44 U.S.C. 3583) mandates that the Director of the Office of Management and Budget (OMB) establish a standard application process (SAP) for requesting access to certain confidential data assets. While the adoption of the SAP is required for statistical agencies and units designated under CIPSEA, it is recognized that other agencies and organizational units within the Executive
Authorizing Statute(s):
 US Code: [44 USC 3583](#) Name of Law: The Foundations for Evidence-Based Policymaking Act
Citations for New Statutory Requirements:
Annual Cost to Federal Government: \$2,500,000
Agency Contact: Carlos Graham 204 276-0361 carlos.graham@samhsa.hhs.gov

Previous RCF ID:
Expiration Date: 12/31/2025
Agency Tracking No.:
Host ICR Reference No.: 202211-3145-002

Conclusion Date: 12/06/2022
Date Received in OIRA: 12/06/2022

Common Form Information Collections (IC) in this RCF:

IC Title	Status	Responses	Hours	Dollars	Document Type	Form No.	Form Name
Standard Application Process Portal	New	20	20	702	Form and Instruction	SAP	Standard Application Process Portal - Research Team Questions
					Form and Instruction	SAP	SAP Project Proposal Questions
					Other: Appendix D, Privacy Statement		

RCF 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	20	0	20	0	0	0
Annual Time Burden (Hr)	20	0	20	0	0	0
Annual Cost Burden (\$)	702	0	702	0	0	0

Burden Increases because of Program Change due to Agency Discretion: Yes
Burden Increase Due to: Changing Regulations
Burden decreases because of Program Change due to Agency Discretion: No
Burden Reduction Due to:
Short Statement: This is a new request to use an existing common form.

Sign-Off History

Name	Action Date	Conclusion Action	Action	Notes (Conclusion Data)
Schwab, Margo	12/06/2022	Approved without change	Conclude	

DISCONTINUE (RCF D) **CREATE NONSUBSTANTIVE CHANGE (RCF CHG)**

Figure 21.3: 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.

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.

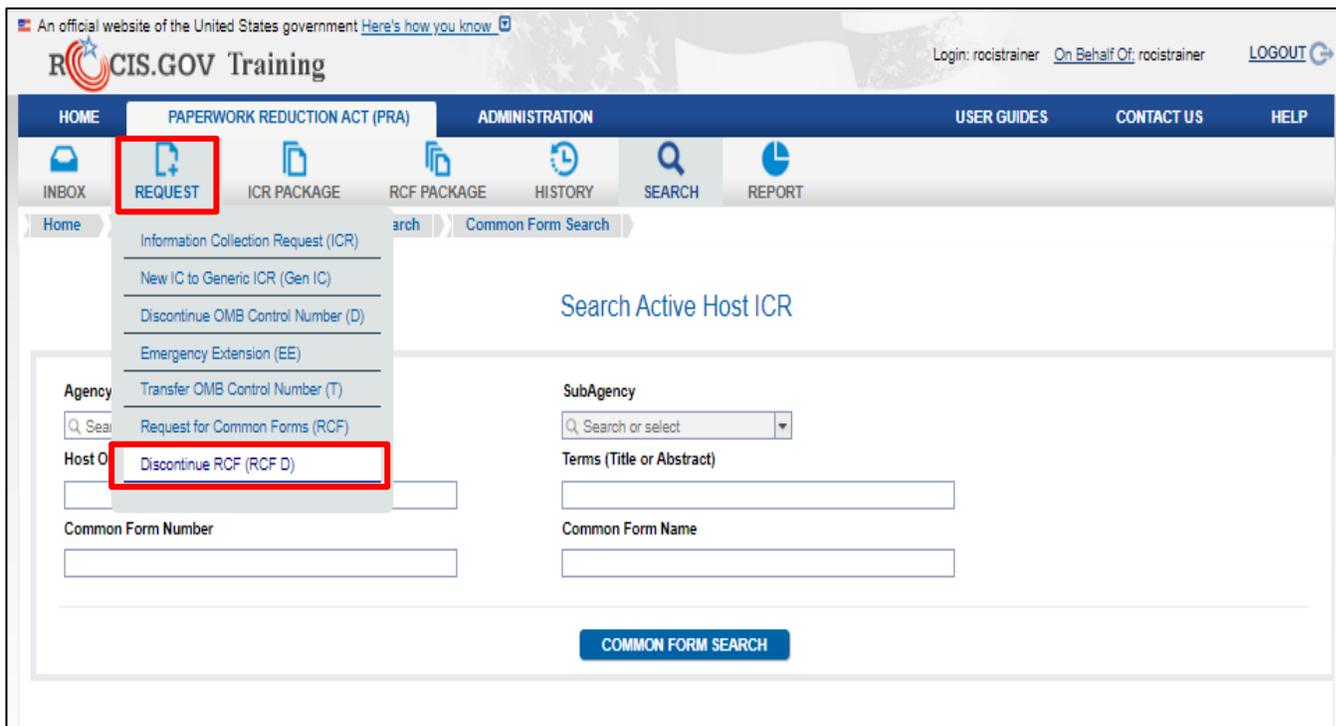


Figure 22.1: Toolbar Link to Create a Request to Discontinue an RCF

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

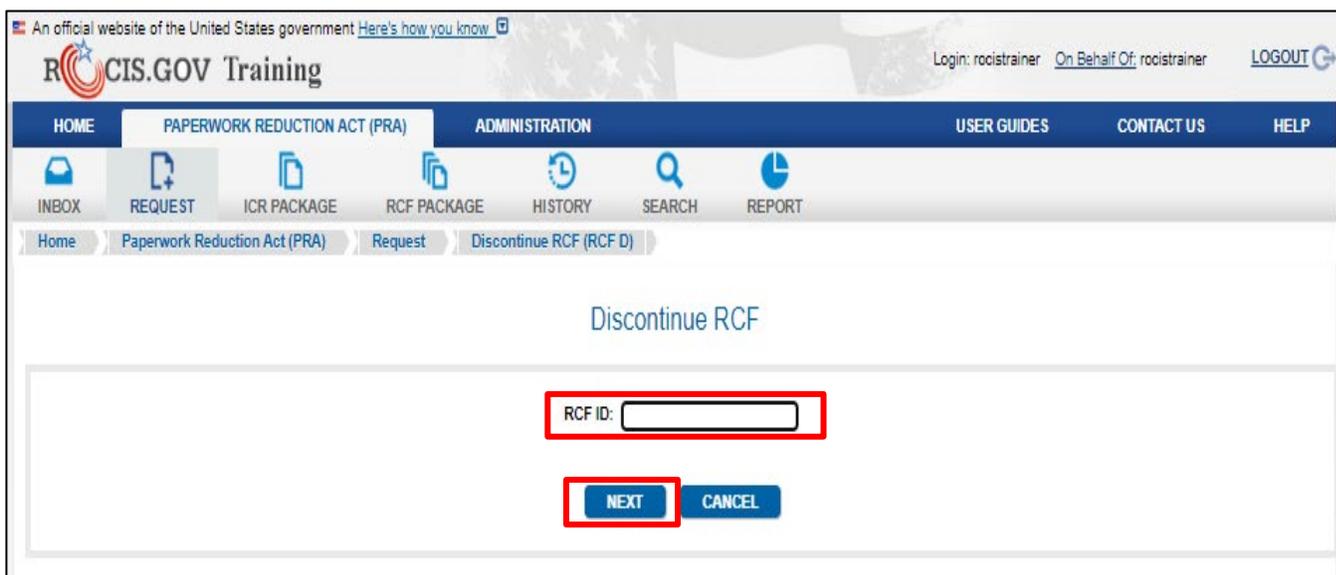


Figure 22.2: Identify the RCF to Discontinue

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

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INBOX | **REQUEST** | **ICR PACKAGE** | **RCF PACKAGE** | **HISTORY** | **SEARCH** | **REPORT**

[Home](#) > [Paperwork Reduction Act \(PRA\)](#) > [RCF Package](#) > [Concluded RCF Package](#)

View RCF - OIRA Conclusion

<p>RCF ID: 202212-0930-001CF</p> <p>Status: Active</p> <p>Agency/Subagency: HHS/SAMHSA</p> <p>Host OMB Control No: 3145-0271</p> <p>Title: Standard Application Process Portal</p> <p>Type of RCF: RCF New</p> <p>OIRA Conclusion Action: Approved without change</p> <p>Retrieve Notice of Action (NOA)</p> <p>Terms of Clearance:</p> <p>Description of Agency Usage: The Foundations for Evidence-Based Policymaking Act (44 U.S.C. 3583) mandates that the Director of the Office of Management and Budget (OMB) establish a standard application process (SAP) for requesting access to certain confidential data assets. While the adoption of the SAP is required for statistical agencies and units designated under CIPSEA, it is recognized that other agencies and organizational units within the Executive</p> <p>Authorizing Statute(s):</p> <p>US Code: 44 USC 3583 Name of Law: The Foundations for Evidence-Based Policymaking Act.</p> <p>Citations for New Statutory Requirements:</p> <p>Annual Cost to Federal Government: \$2,500,000</p> <p>Agency Contact: Carlos Graham 204 278-0361 carlos.graham@samhsa.hhs.gov</p>	<p>Previous RCF ID:</p> <p>Expiration Date: 12/31/2025</p> <p>Agency Tracking No:</p> <p>Host ICR Reference No: 202211-3145-002</p> <p>Conclusion Date: 12/06/2022</p> <p>Date Received In OIRA: 12/06/2022</p>
---	---

Common Form Information Collections (IC) in this RCF:

IC Title	Status	Responses	Hours	Dollars	Document Type	Form No.	Form Name
Standard Application Process Portal	New	20	20	702	Form and Instruction	SAP	Standard Application Process Portal - Research Team Questions
					Form and Instruction	SAP	SAP Project Proposal Questions
					Other: Appendix D, Privacy Statement		

RCF 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	20	0	20	0	0	0
Annual Time Burden (Hr)	20	0	20	0	0	0
Annual Cost Burden (\$)	702	0	702	0	0	0

Burden Increases because of Program Change due to Agency Discretion: Yes

Burden Increase Due to: Changing Regulations

Burden decreases because of Program Change due to Agency Discretion: No

Burden Reduction Due to:

Short Statement: This is a new request to use an existing common form.

Sign-Off History

Name	Action Date	Conclusion Action	Action	Notes (Conclusion Data)
Schwab, Margo	12/06/2022	Approved without change	Conclude	

DISCONTINUE (RCF D)
CREATE NONSUBSTANTIVE CHANGE (RCF CHG)

Figure 22.3: 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 Statute or Agency Discretion.

If you select New Statute, you will be required to identify that statute or statutes. When complete, select Save or Submit.

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INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home Paperwork Reduction Act (PRA) Request Discontinue RCF (RCF D)

RCF ID: 202212-0920-002CF Host OMB Ctl. No.: 3145-0271 Host ICR Ref No.: 202211-3145-002 Host ICR Exp. Date: 12/31/2025
 Agency/Sub-Agency: HHS/CDC Agency Tracking No.: 3145-0271 RCF Title: Standard Application Process Portal
 Request Status: Created Last Event: Created Last Event User: Funn, Sherrette Last Event Date: 02/06/2024

Create Request to Discontinue RCF

A discontinue of an active RCF does not require OIRA approval. As soon as you submit this request, ROCIS will automatically approve it. The RCF will be discontinued on the same date you submit this request.

Expiration Date: 12/31/2025 Program Change Due to:

Justification:

CHECK SPELLING SAVE SUBMIT DELETE CANCEL

Figure 23.4: Edit Request to Discontinue RCF Screen

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.

Search

You can access ROCIS Search tools by clicking on the Search icon in the navigation toolbar, and then click on Simple Search for a basic search when you know the appropriate number.

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INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home Paperwork Reduction Act (PRA) Search Simple Search

Simple Search
 Advanced Search
 Common Form Search

OMB Control Number ICR Reference Number/RCF ID Agency Tracking Number

SIMPLE SEARCH

Figure 24.1: Accessing the Simple Search

You can search for a specific ICR Reference Number, an OMB Control Number, or an Agency Tracking Number and then click the Simple Search button to show the results.

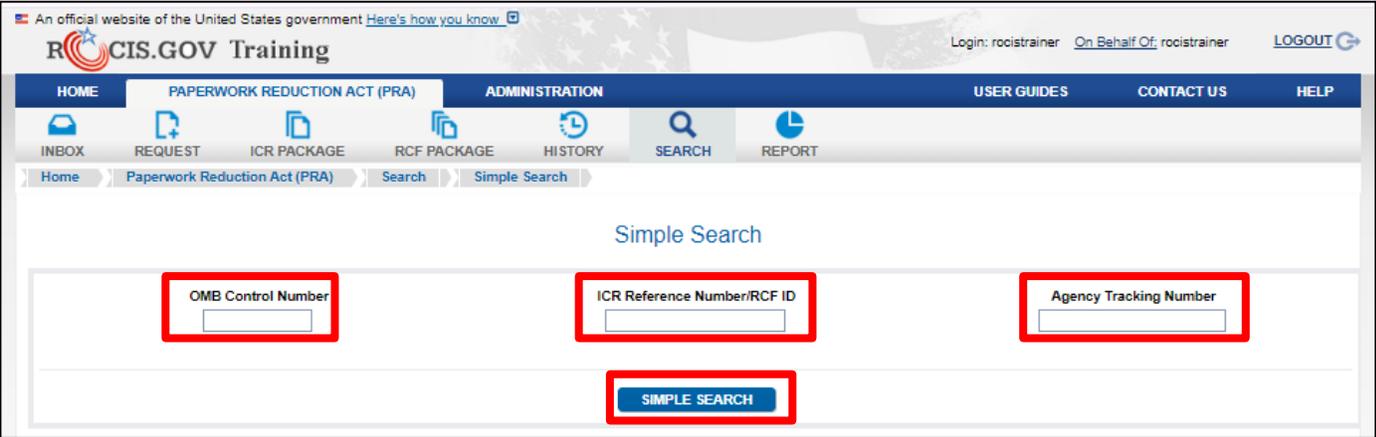


Figure 24.2: Simple Search Screen

You can also perform an Advanced Search when you don't have the number or need a more precise search.

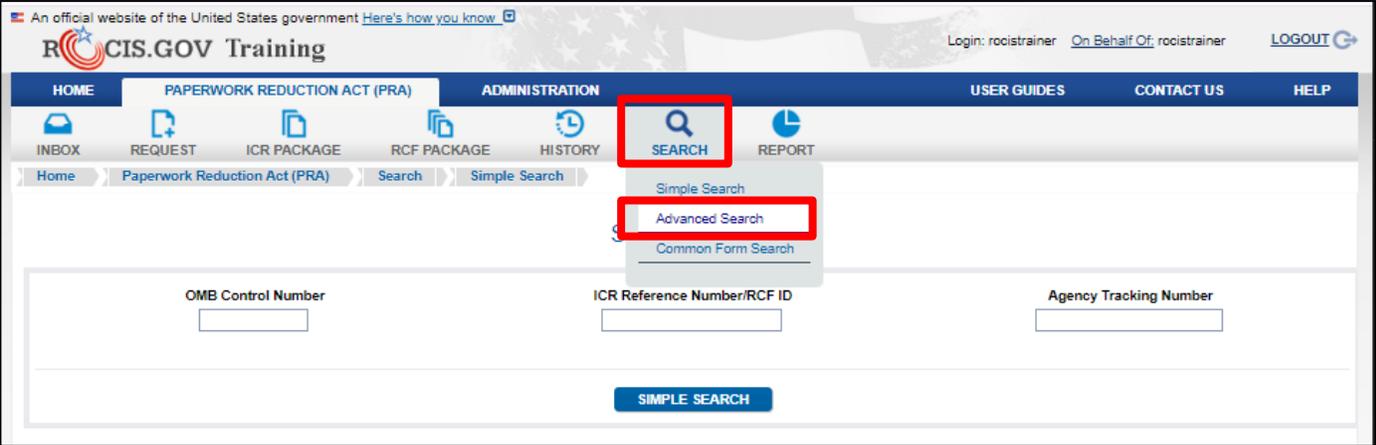


Figure 24.3: Accessing the Advanced Search

The Advanced Search is for when you may not know the ICR, OMB or Agency Tracking number. You can also filter the results using fields from the ICRs such as test from a majority of the text box fields, RIN, Type of Request, ICR Status, Dates, Conclusion Actions, ICRs that included specific information, Type of Review, and more.

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INBOX REQUEST ICR PACKAGE RCF PACKAGE HISTORY SEARCH REPORT

Home > Paperwork Reduction Act (PRA) > Search > Advanced Search

Advanced Search

Agency **Sub Agency**

Type of Request

Date Type **Date Range (mm/dd/yyyy)** From To

Conclusion Action

Certification
 (a) It is necessary for the prc
 (b) It avoids unnecessary du

ICR Burden Range

Hours: Between and

Dollars: Between and

Responses: Between and

Respondents: Between and

Respondents - Small Entities: Between and

Obligation to Respond **Burden Due To**

Line of Business **Subfunction**

Form Number **Form Name**

Affected Public

Created By: **Reviewed By:**

Submitted By:

Text (Majority of Text Boxes) **RIN**

ICR Status
 Created
 Active
 Received in OIRA

Type of Review

ICR Ended Due To

ICRs That

- Are generic
- Are preapproved
- Received public comments
- Employ statistical methods
- Sponsor common form(s)
- Include collections available electronically
- Include collections that can be submitted electronically
- Relate to other documents for OIRA review
- Relate to the Affordable Care Act [PPACA, P.L. 111-148 & 111-152]
- Relate to the Dodd-Frank Act [Dodd-Frank Wall Street Reform and Consumer Protection Act, P.L. 111-203]
- Relate to the American Recovery and Reinvestment Act of 2009 (ARRA)
- Request any personally identifiable information [OMB Circular No. A-130]
- Include a form that requires a Privacy Act Statement [5 U.S.C. §552a(e)(3)]
- Relate to the Pandemic Response
- Relate to A-11 Section 280: Managing Customer Experience and Improving Service Delivery
- Privacy impact assessment
- Affect small entities
- Relate to proposed rulemaking
- Relate to interim/final rulemaking
- Include form(s)

ADVANCED SEARCH

Figure 24.4: Advanced Search page

Reports

ROCIS has several reports associated with the data collected under the PRA. An agency can access these reports by choosing the “Report” icon in the navigation toolbar. Below is a list of the available reports.

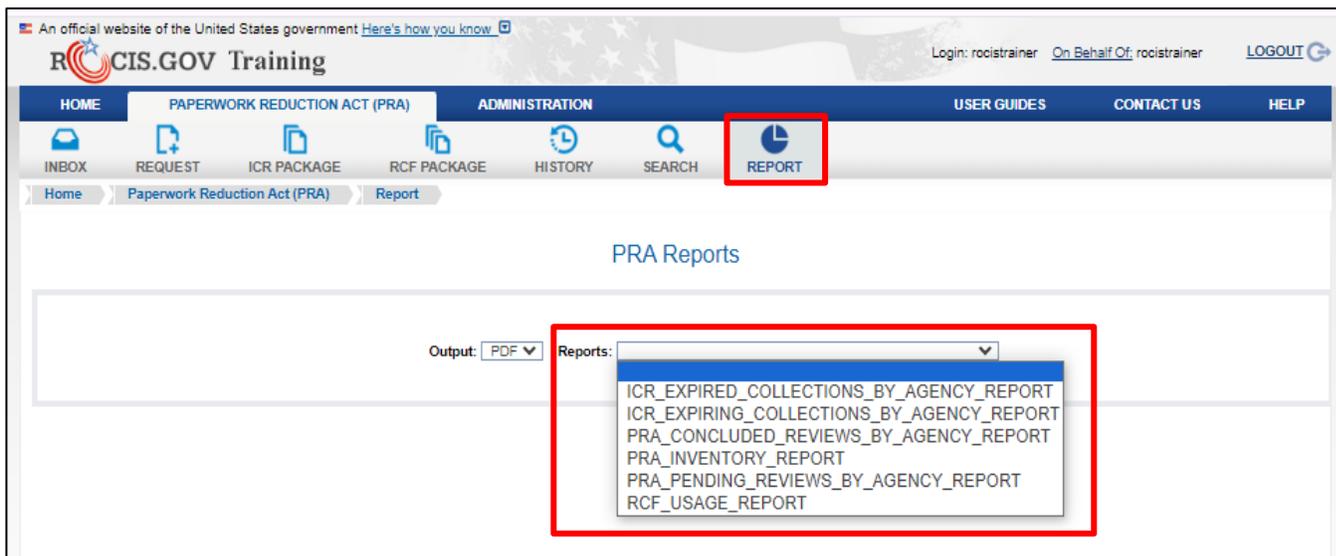


Figure 23.1: PRA Reports Screen

Before selecting the report, choose the output method; your options are PDF or CSV. Choosing the CSV option will generate an editable spreadsheet.

Then you will choose a report from the Reports drop-down menu. 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 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.

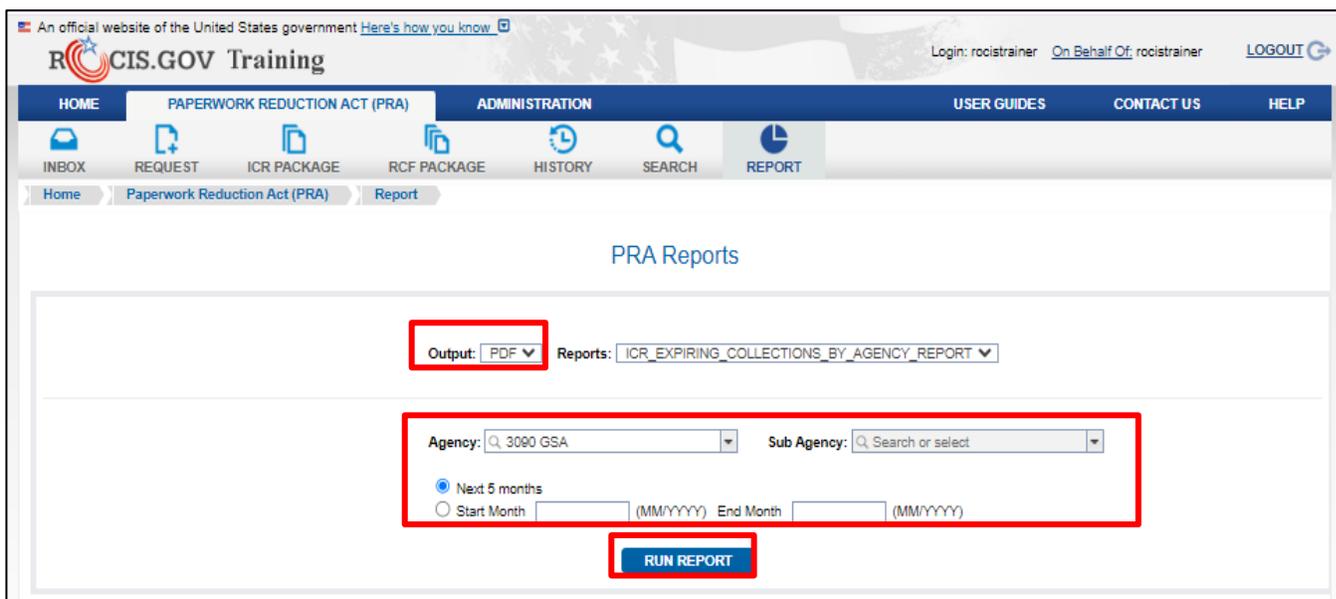


Figure 23.2: PRA Reports Screen with Expiring Collections Report Selected

Note: There is a related report which details ICR packages that have expired called ICR Expired Collections by Agency Report.

Reginfo.gov – the ROCIS Public Website

The ROCIS public website is known as 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.



Figure 25.1: PRA Reports Screen with Expiring Collections Report Selected

Appendix A - 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 publications 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 consider 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 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.
15. Agencies may also aggregate cost estimates from Items 12, 13, and 14 in a single table.
16. Explain the reasons for any program changes or adjustments reported on the burden worksheet.
17. 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.

18. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.
19. 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. 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 tests 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 collect and/or analyze the information for the agency.

OIRA has produced several 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 B - FAQs

ICR FAQ

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.

What is an Instrument?

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.

What does “affected public” refer to?

Affected public means individuals, the private sector, and state and local governments.

What does the “obligation to respond” refer to?

The obligation to respond is the public's responsibility to complete the instrument. The choices are mandatory, required to obtain benefits, or voluntary.

What does “line of business” refer to?

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](#)).

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 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 of an online catalog of forms and other instruments for forms.gov.

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.

How do I break down an ICR into ICs?

There are three components which must be considered when breaking down 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. 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.

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.

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).

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.

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.

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.

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.

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.

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.

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).

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.

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.

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.

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.

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 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.

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.

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.

Common Forms FAQ

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).

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."

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.

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.

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

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.

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.

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.

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.

If a host agency includes several 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.

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.

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.

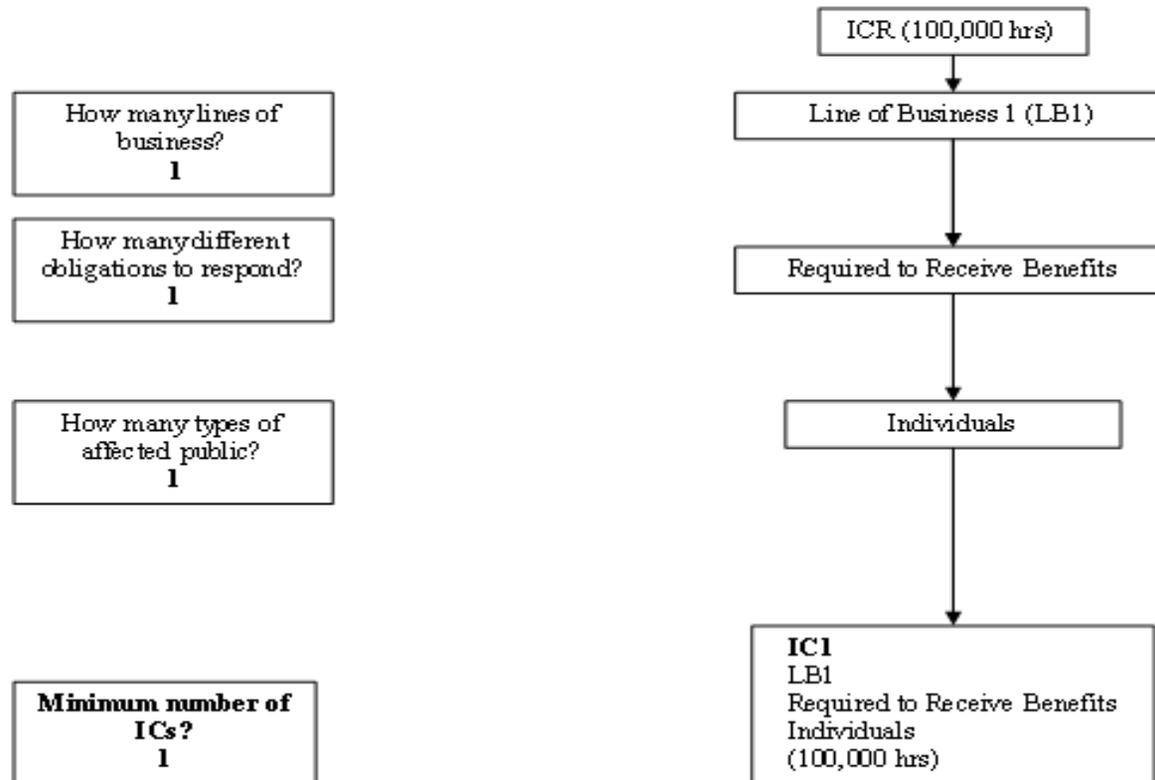
To what extent may a using agency change the purpose for which a host agency's approved common form is used?

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: Determining the Number of ICs

Example 1

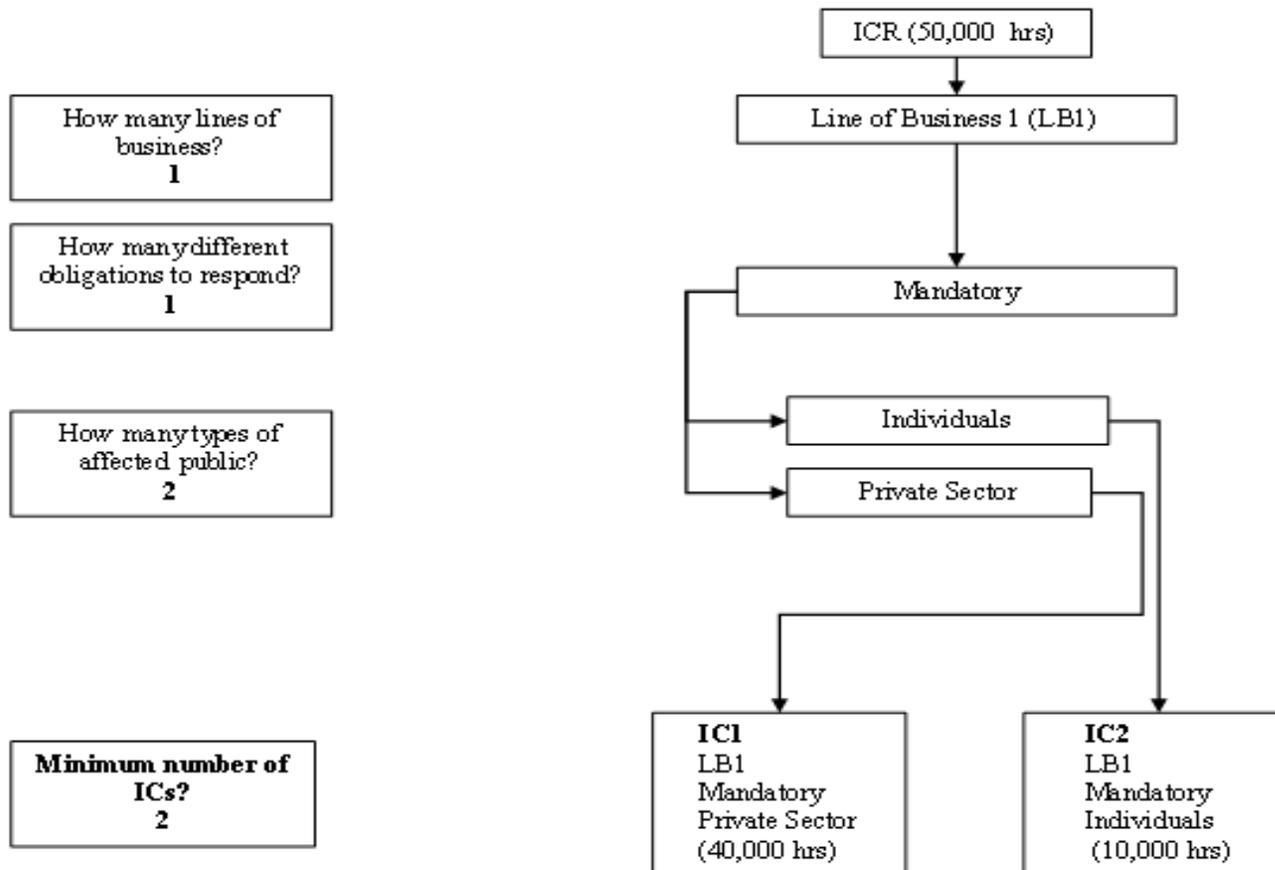
Example 1: The collection under consideration gathers information from individuals. There are three forms. Individuals must submit these forms in order to receive benefits from the Federal Government. The information gathered can be classified under a single line of business. The total burden for the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

Example 2

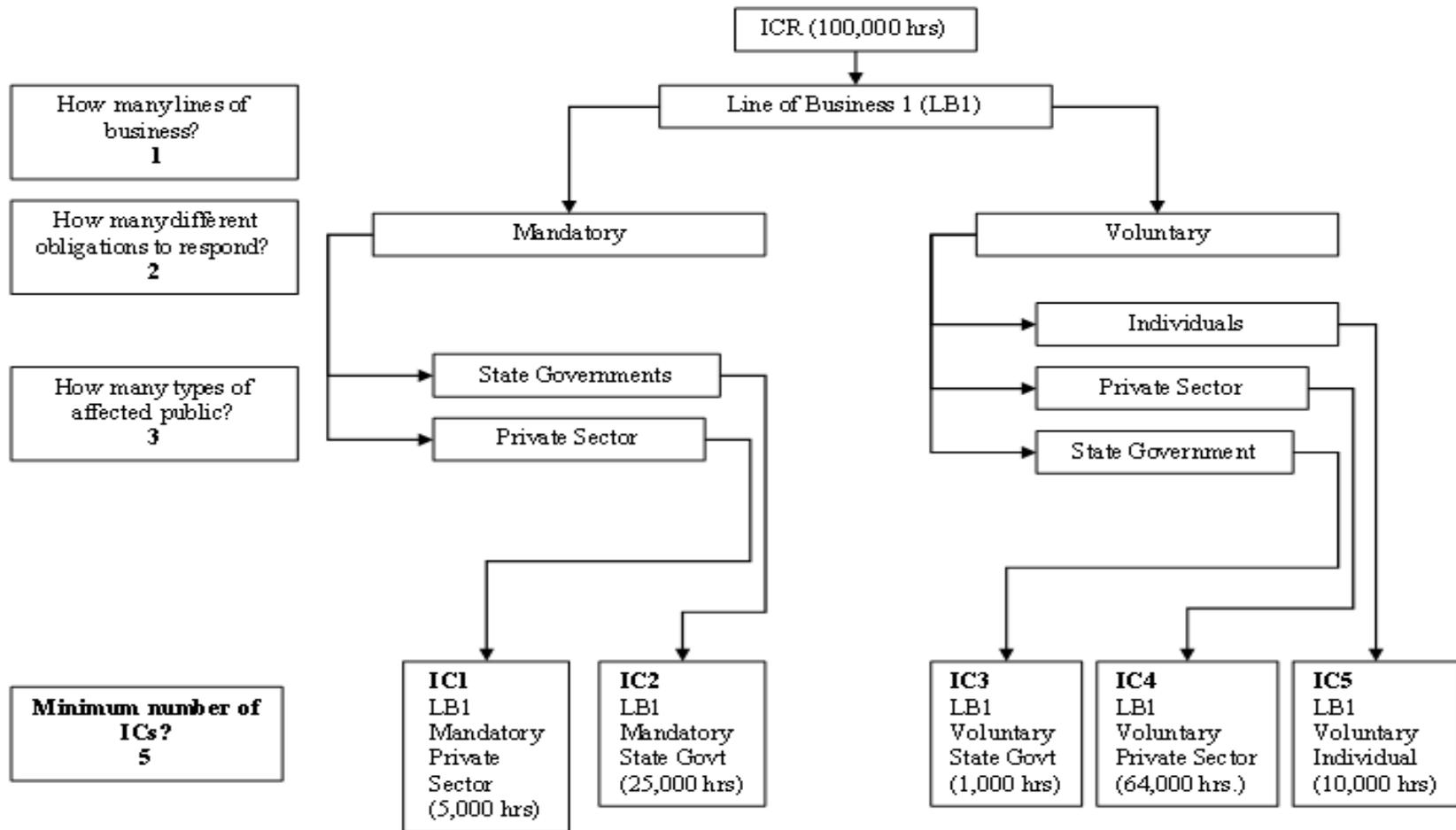
Example 2: The collection under consideration gathers information from individuals and the private sector (businesses). There are two mandatory reporting requirements (one is a form; the other is specified in regulation). The information gathered can be classified under a single line of business. The 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.

Example 3

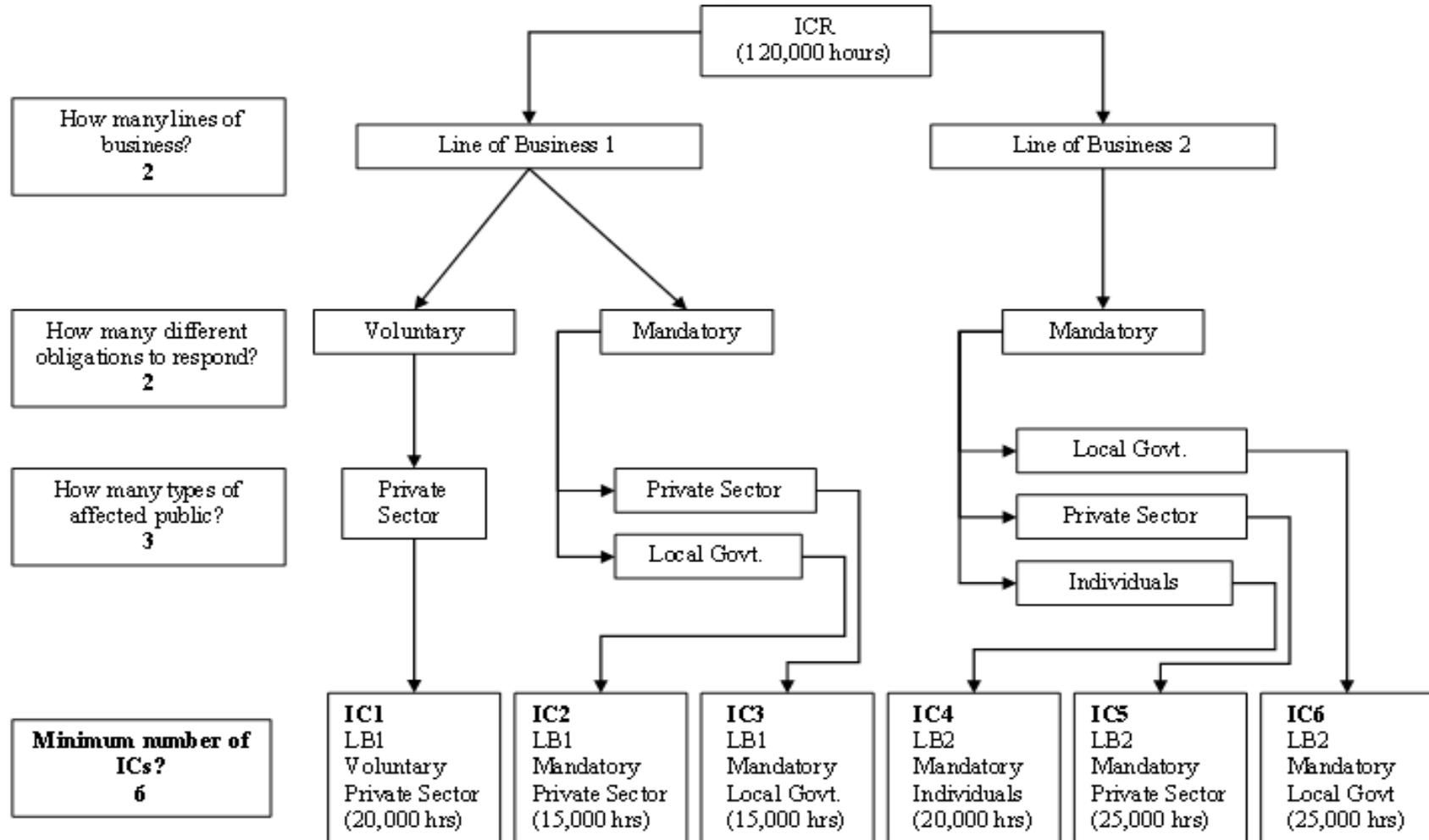
Example 3: The collection under consideration gathers information from individuals, the private sector (businesses and non-profits), and state governments. There are two forms, one is voluntary; one is mandatory. The information gathered can be classified under a single line of business. The total burden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

Example 4

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.



Appendix D: 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 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.

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 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 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 must 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 regarding 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 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 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.

Like the CL, the CO role 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).*

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