



ROCIS HOW TO GUIDE FOR AGENCY USERS OF THE E.O. 12866 MODULE (REGULATORY REVIEW)

November 4, 2022

Regulatory Information Service Center (RISC)

ROCIS How-To Guide for Agency Users of the Privacy Module
Regulatory Information Service Center (RISC)

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1. LOGGING IN/OUT

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

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

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

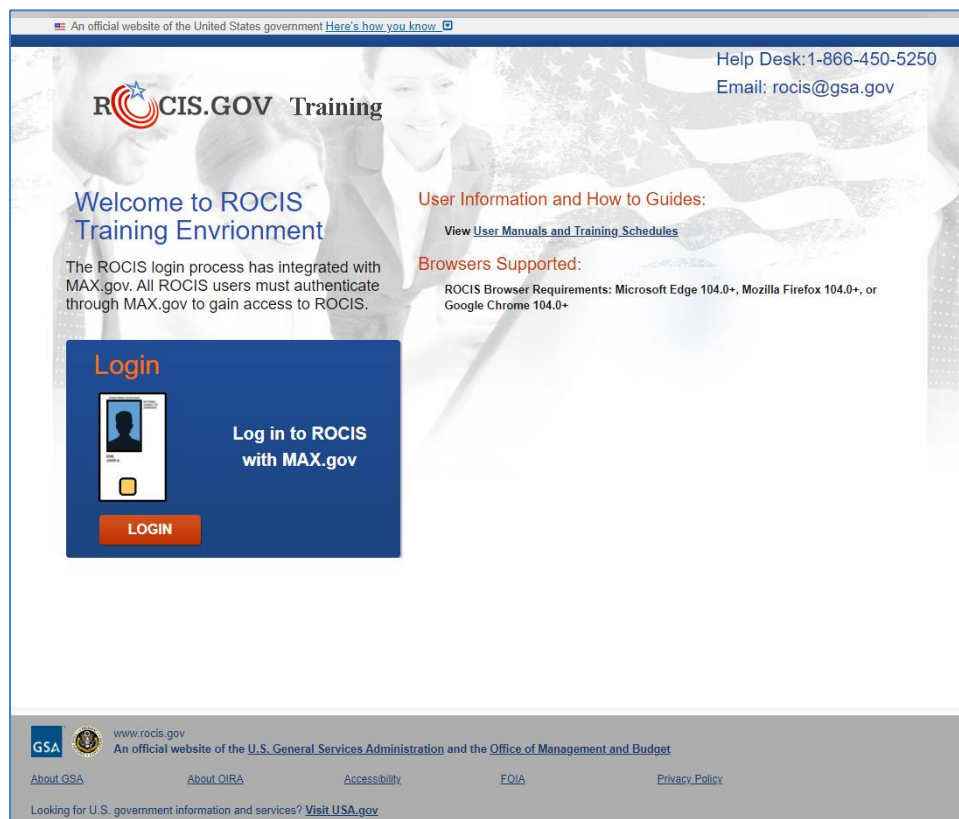
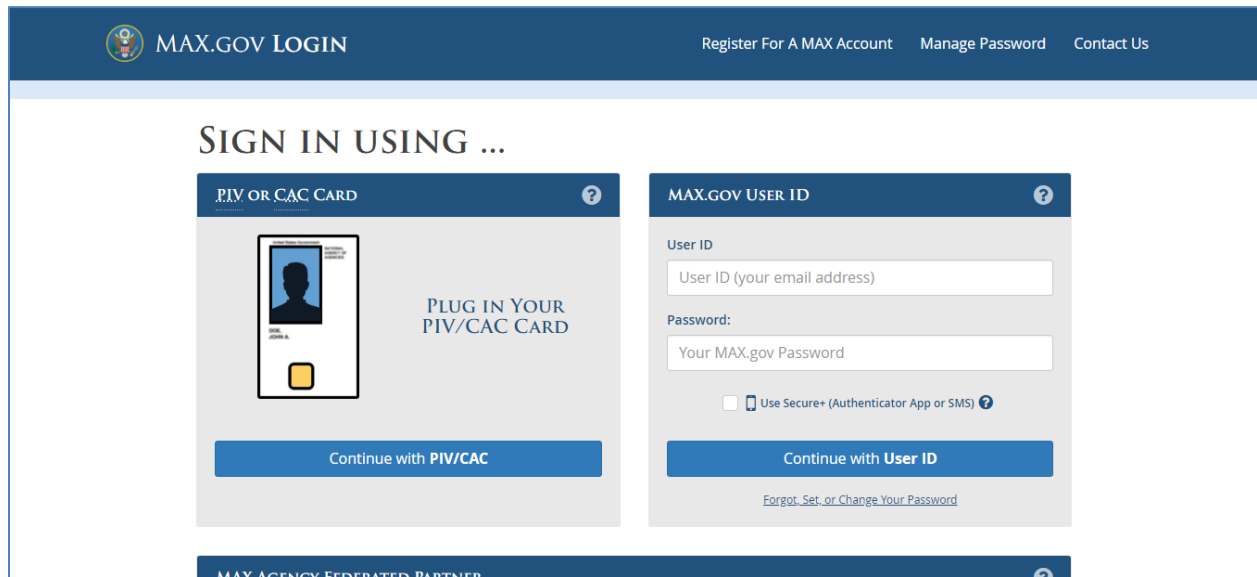


Figure 1.1: Login Screen

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.

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The image shows the MAX.gov Login screen. At the top, there is a dark blue header with the MAX.GOV LOGIN logo on the left and links for Register For A MAX Account, Manage Password, and Contact Us on the right. Below the header, the main content area is white. The heading "SIGN IN USING ..." is centered. There are two main login options: "PIV OR CAC CARD" and "MAX.GOV USER ID". The "PIV OR CAC CARD" option features an illustration of a PIV/CAC card and the text "PLUG IN YOUR PIV/CAC CARD". The "MAX.GOV USER ID" option includes input fields for "User ID (your email address)" and "Password: Your MAX.gov Password". It also has a checkbox for "Use Secure+ (Authenticator App or SMS)" and a "Continue with User ID" button. A link for "Forgot, Set, or Change Your Password" is located below the password field. At the bottom of the screen, there is a dark blue footer with the text "MAX AGENCY FEDERATED PARTNER" and a small icon.

MAX.GOV LOGIN

Register For A MAX Account Manage Password Contact Us

SIGN IN USING ...

PIV OR CAC CARD ?

PLUG IN YOUR PIV/CAC CARD

Continue with PIV/CAC

MAX.GOV USER ID ?

User ID

User ID (your email address)

Password:

Your MAX.gov Password

☐ Use Secure+ (Authenticator App or SMS) ?

Continue with User ID

[Forgot, Set, or Change Your Password](#)

MAX AGENCY FEDERATED PARTNER

Figure 1.2: MAX.gov Login Screen

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

The EO 12866 Regulatory Review functionality is part of the Agenda/Regs module of ROCIS. Click the arrow for 'Agenda/Regs' to continue.

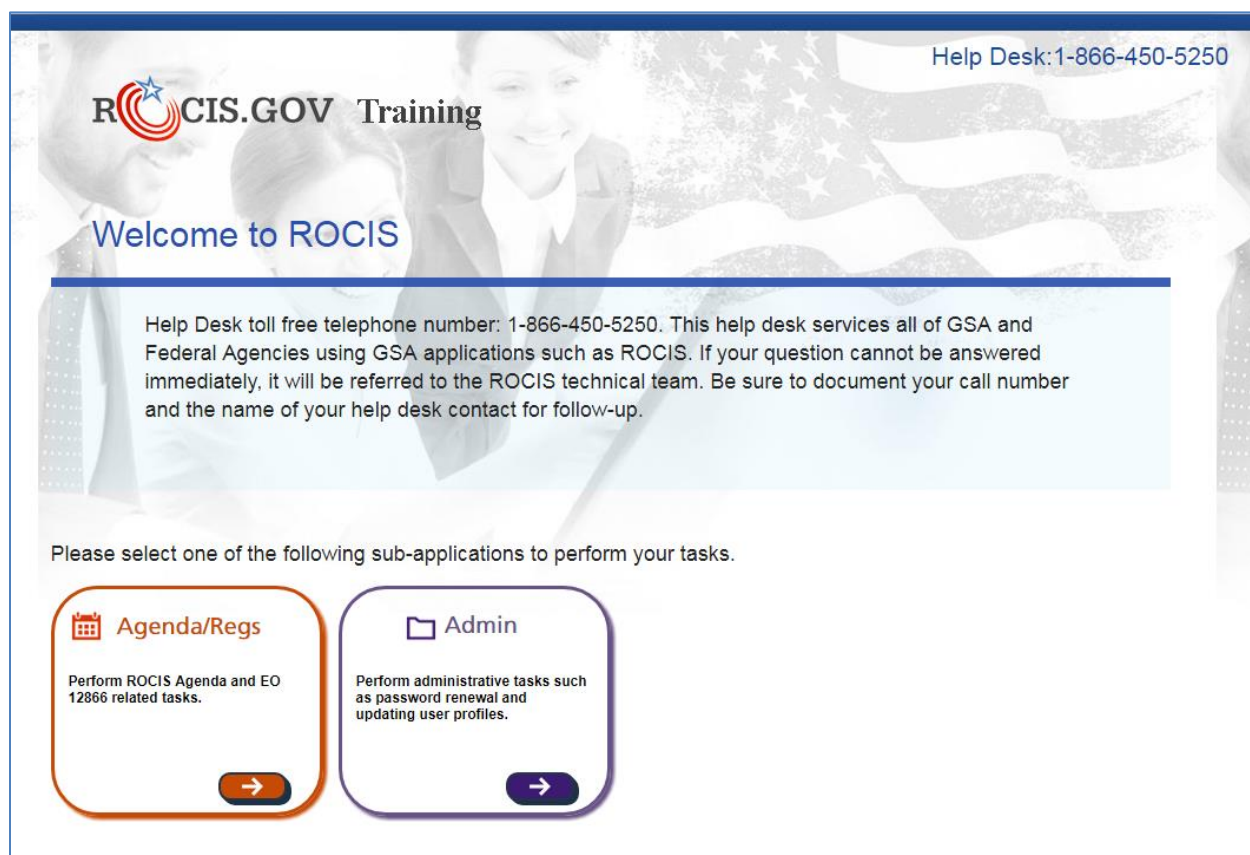


Figure 1.3: ROCIS Landing Page

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

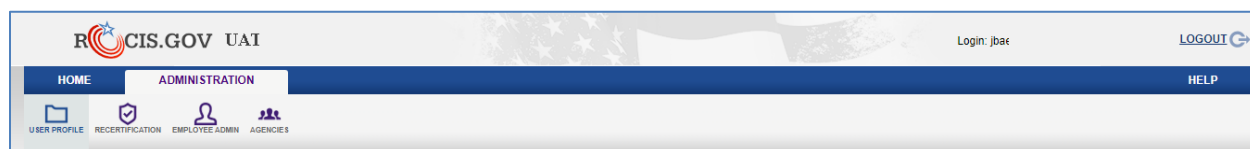


Figure 1.4: Logout Link

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 in to ROCIS without having to re-verify your identity 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.

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

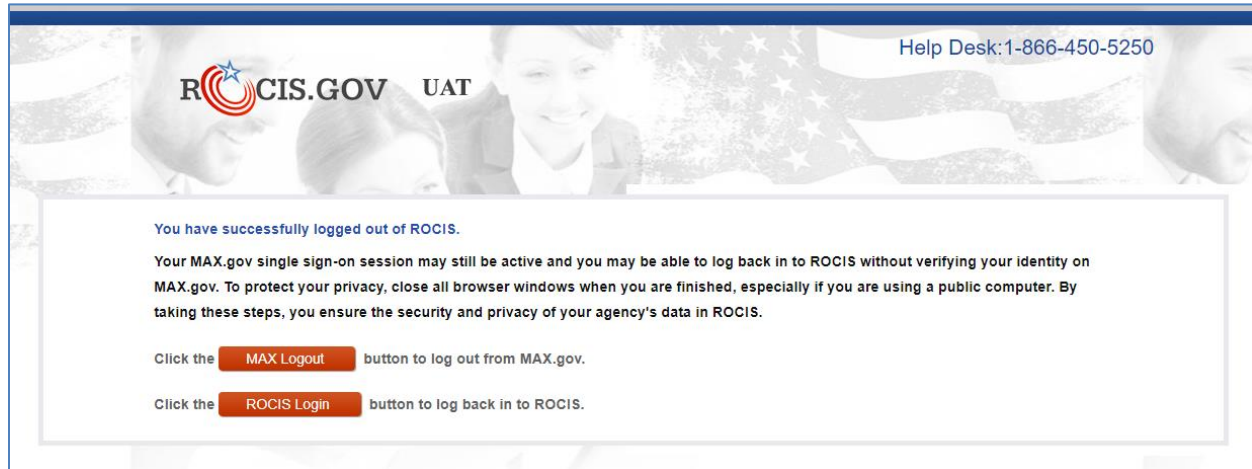


Figure 1.5: Logout Screen

User Manuals and Training Schedules

ROCIS user manuals and training schedules are available online. Click the User Manuals and Training Schedules link on the Login screen to open the resources page.

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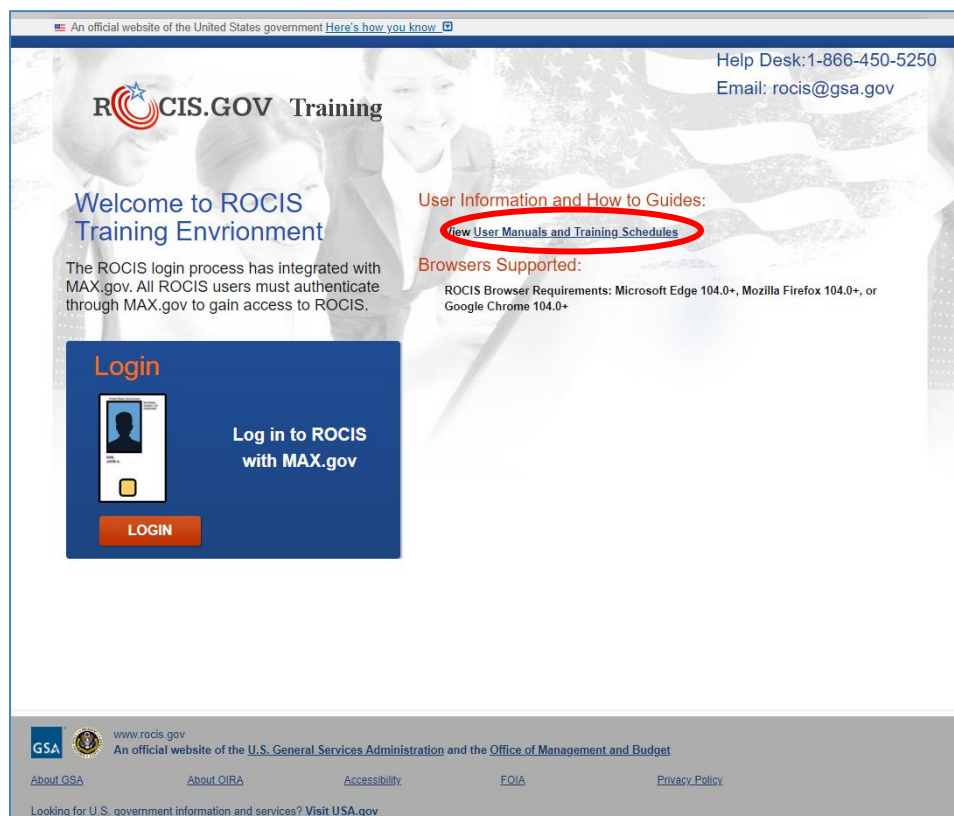


Figure 1.6: Login Screen with User Resources Link

The user can download the latest version of the agency guidelines for submitting their Unified Agenda for review. There are also agency user manuals for each of the ROCIS modules available in MS Word and PDF formats. A link to [OIRA's online guide to the Paperwork Reduction Act \(https://pra.digital.gov/\)](https://pra.digital.gov/) is available, as well.

Training schedules and registration information is also available. There is no cost for ROCIS training. There are 2 training documents on the user resources screen:

- Unified Agenda & Reg Plan –
 - Twice per year (weeks before Unified Agenda data call is expected)
 - Takes users through the steps to request a RIN when a new regulation is under development.
- EO 12866, PRA and Privacy –
 - E.O. 12866 –
 - Quarterly (October, January, April, July)
 - Covers the steps necessary to create and submit an EO 12866 Review package.
 - PRA –
 - Monthly

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- Covers the steps necessary to create and submit an Information Collection Request (ICR).
- Privacy –
 - Quarterly (December, March, June, September)
 - Covers the steps necessary to create and submit a System of Records Notice (SORN) and a matching notice (MA).

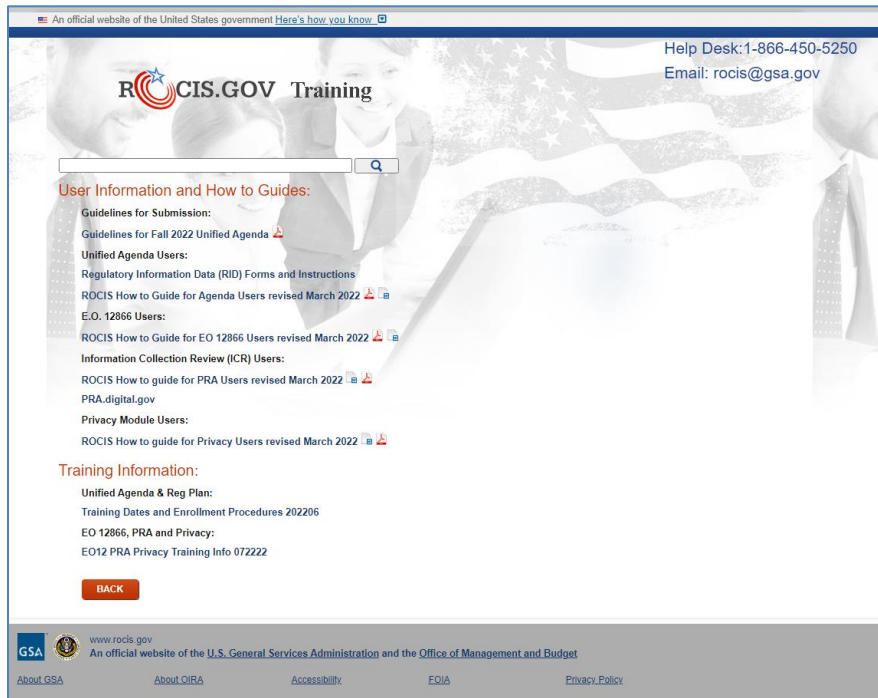


Figure 1.7: User Resources Screen

After logging in, click the User Guides link in the Navigation toolbar to open the User Resources screen.



Figure 1.8: Navigation Toolbar

2. YOUR USER PROFILE

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

The screenshot shows the ROCIS.GOV Traini interface. The top navigation bar includes 'HOME', 'AGENDA/REGS', and 'ADMINISTRATION' (which is selected). Below this is a toolbar with icons for 'USER PROFILE' (circled in red), 'RECEIPTIFY', 'EMPLOYEE ADMIN', 'OIRA EMPLOYEE', and 'AGENCIES'. The 'User Profile' page is displayed, showing a 'User Detail' form. The form is divided into several sections: 'Personal Information' (with fields for Prefix, First Name, Middle Name, Last Name, Suffix, Title, Agency/Sub Agency), 'Account Information' (with fields for Employee Number, User Login, and MAX.gov Email), 'Communications' (with fields for Telephone, TDD, Fax, and E-Mail), 'Address' (with fields for Street Address, City, State, and Zip), and 'User Roles' (with a list of 'Selected Roles' including 'EXECUTIVE ORDER REGULATORY CONTACT(EORC)-0').

Figure 2.1: User Profile Icon and User Detail Screen

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

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

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

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

3. USER/CONTACT SEARCH

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

ROCIS.GOV UAI Login: jbaez On Behalf Of: abakale LOGOUT

HOME AGENDA/REGS ADMINISTRATION HELP

USER PROFILE RECERTIFICATION EMPLOYEE ADMIN ORA EMPLOYEE AGENCIES

Home Administration Employee Admin

ROCIS Employee Administration

User ID
Profile Agency
SubAgency
Role
Assigned Role Agency
Assigned Role SubAgency

Last Name
First Name
Employee Number

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 3.1: Employee Administration Screen

If you are the Primary Unified Agenda POC for your agency, it is a good idea to periodically check the authorized users for your agency. Simply choose the desired role (RRP, EORC and/or RPDU) 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 Agenda/Regs tab to return to the EO 12866 module.

4. USER RECERTIFICATION AND REAUTHORIZATION

User Recertification

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

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

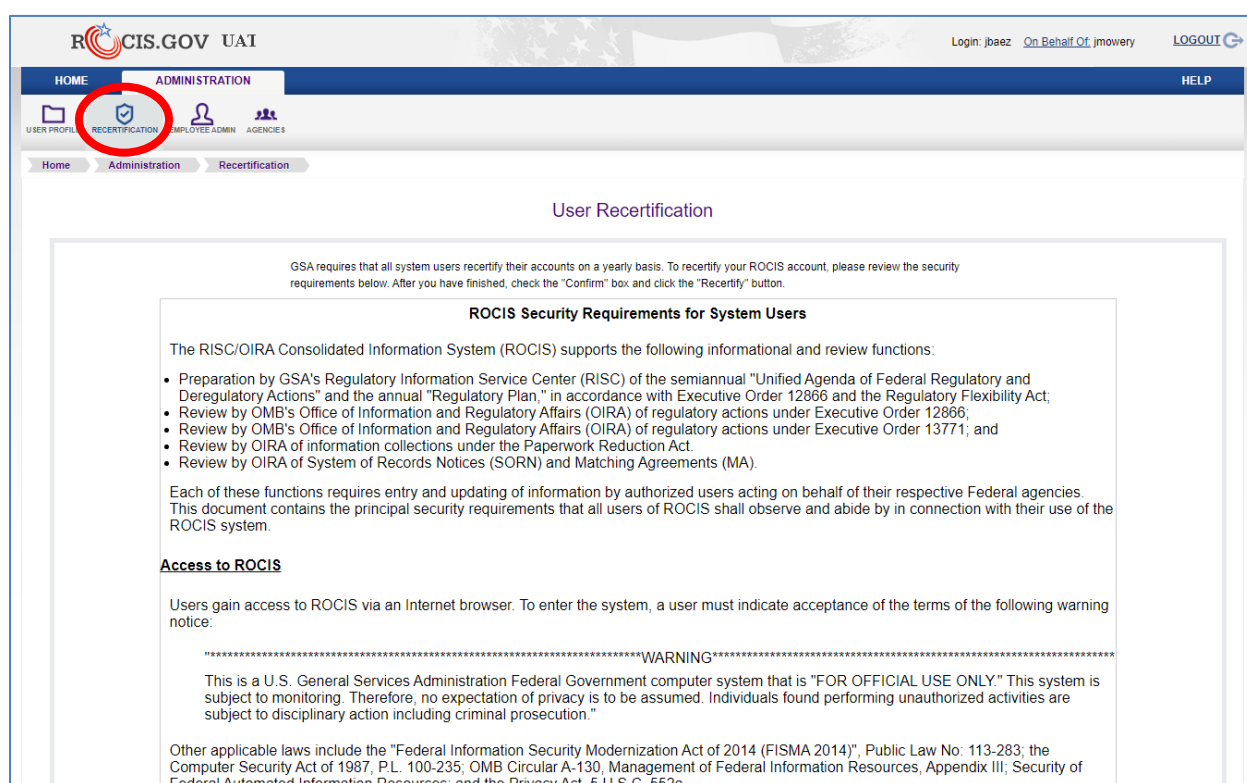


Figure 4.1: Recertification Icon in Administration Toolbar

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

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have access to sensitive or proprietary information in the system.

Rules for Behavior

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

General Requirements:

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

Use and Protection of Data:

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

Personally Identifiable Information (PII):

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

Confirm: ☐

RECERTIFY **CANCEL**

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Figure 4.2: User Recertification Screen (Bottom)

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

User Reauthorization

Any user acquiring a ROCIS production account must be authorized by the agency. The ROCIS system requires agencies to reauthorize user access every year.

Starting 10 days before your annual reauthorization deadline, you will receive daily warnings and email notifications. If your account is not reauthorized before the deadline, your ROCIS access will be suspended (i.e. user cannot log in). Agency authorizer(s) contact information will be provided.

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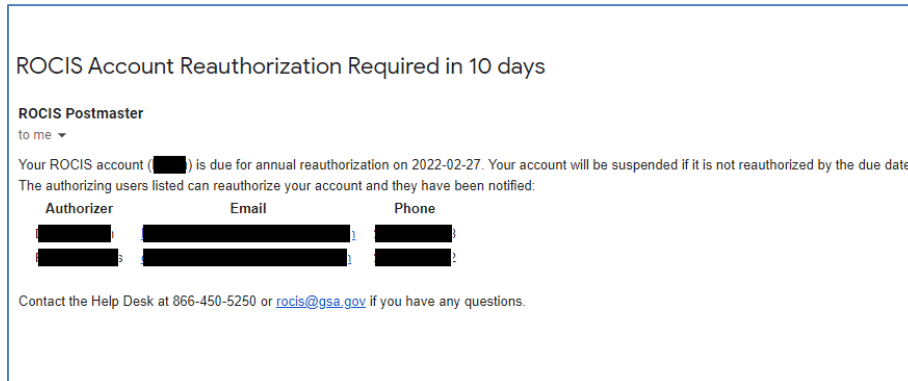


Figure 4.3: User Reauthorization Required Email

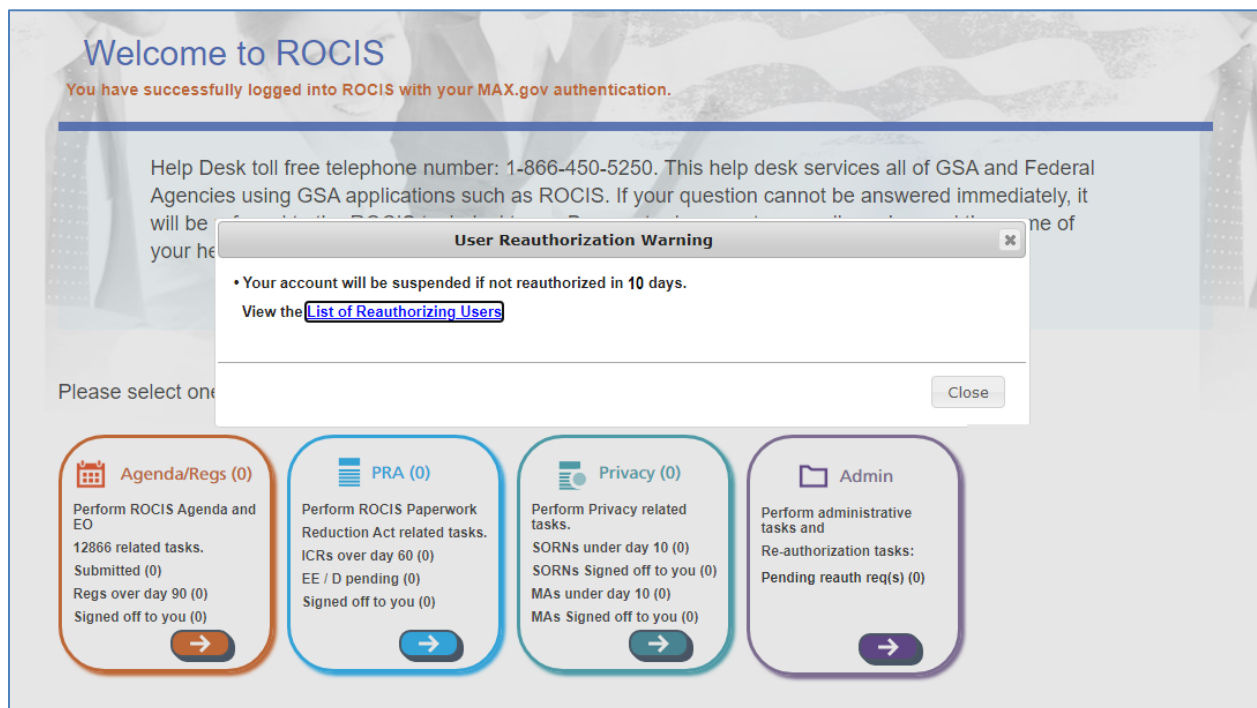


Figure 4.4: User Reauthorization Required Warning

Agency authorizers must review ROCIS user access, at least annually, to validate that the individual still has a business need for their access. Authorizers will receive daily warnings and email notifications when there are users that they can reauthorize whose access will be suspended in 10 days or less.

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ROCIS Account(s) Require Your Reauthorization

ROCIS Postmaster
to me ▾

Your login ID: [REDACTED]

The following ROCIS user(s) are due for annual reauthorization (as required by GSA). The user(s) below will be suspended (i.e. user cannot log in) if they are not reauthorized by the due date:

User Name	Email	Phone	Due Date
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

The following ROCIS user(s) have been suspended recently:

User Name	Email	Phone	Date Suspended
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

The following ROCIS user(s) have been reauthorized/declined recently:

User Name	Date	Action
[REDACTED]	[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]	[REDACTED]

Contact the Help Desk at 866-450-5250 or rocis@gsa.gov if you have any questions.

Figure 4.5: User Reauthorization Required Email (Authorizer)

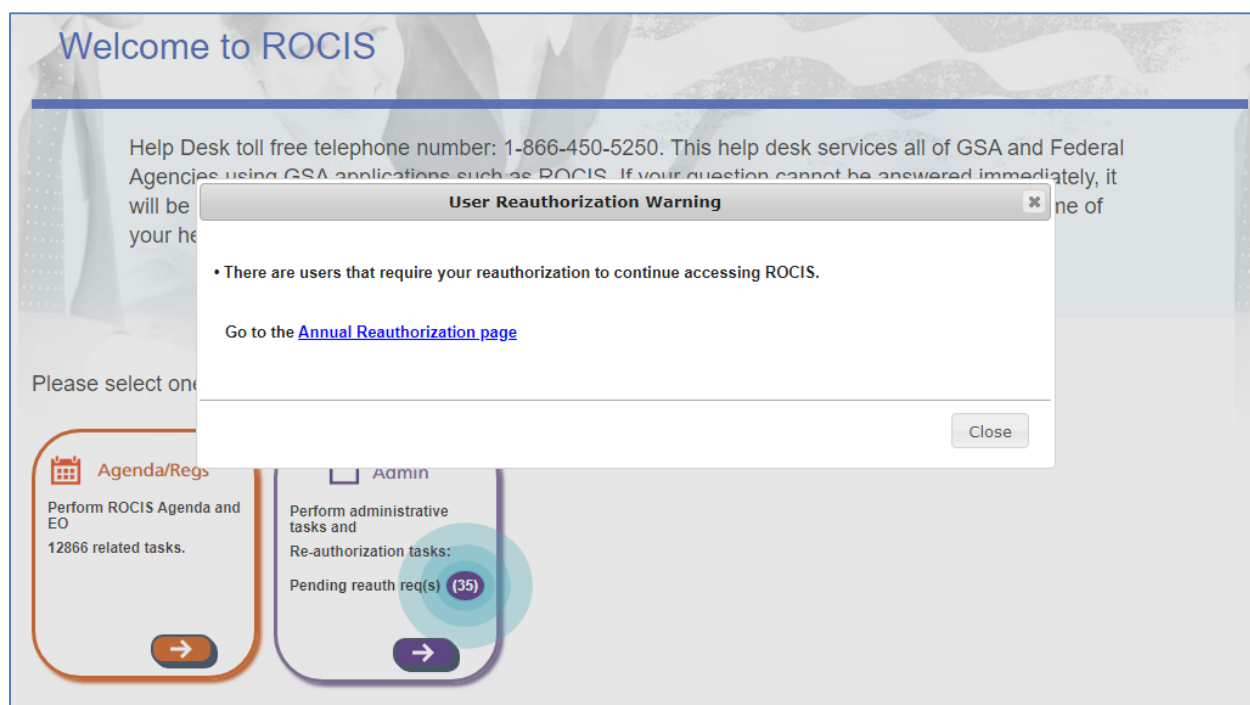


Figure 4.6: User Reauthorization Required Warning (Authorizer)

Agency authorizers have the ability to reauthorize or decline user access in ROCIS. Click on the Annual Reauth icon under Administration to reauthorize users (Authorizers only).

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Annual Reauthorization

☒ Within 60 days (4 users) ☒ Within more than 60 days (0 users) ☒ Suspended (0 users) ☒ Declined (0 users)

REAUTHORIZE **DECLINE**

Select	Name	Agency	Phone	Email	Last Action	Last Action Date	Performed By	Days Left	
<input type="checkbox"/>					Reauthorized	02/18/2021		0	REAUTHORIZE DECLINE
<input type="checkbox"/>					Reauthorized	02/23/2021		5	REAUTHORIZE DECLINE
<input type="checkbox"/>					Reauthorized	02/25/2021		7	REAUTHORIZE DECLINE
<input type="checkbox"/>					Reauthorized	03/08/2021		18	REAUTHORIZE DECLINE

Figure 4.7: User Reauthorization Screen (1 at a time)

Annual Reauthorization

☒ Within 60 days (4 users) ☒ Within more than 60 days (0 users) ☒ Suspended (0 users) ☒ Declined (0 users)

REAUTHORIZE **DECLINE**

Select	Name	Agency	Phone	Email	Last Action	Last Action Date	Performed By	Days Left	Actions
<input type="checkbox"/>					Reauthorized	02/18/2021		0	REAUTHORIZE DECLINE
<input type="checkbox"/>					Reauthorized	02/23/2021		5	REAUTHORIZE DECLINE
<input type="checkbox"/>					Reauthorized	02/25/2021		7	REAUTHORIZE DECLINE
<input type="checkbox"/>					Reauthorized	03/08/2021		18	REAUTHORIZE DECLINE

Figure 4.8: User Reauthorization Screen (1+ at a time)

5. AGENCY INBOX AND THE NAVIGATION TOOLBAR

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

ROCIS provides all users with an Inbox menu for tracking the progress EO 12866 requests. The menu includes different lists, each of which is discussed below. Wave your mouse cursor over the Inbox icon in the navigation toolbar to access the various sections:

1. Unsubmitted EO List – Includes requests that have been created in ROCIS, but have not been submitted to OIRA for review. It also includes requests that were submitted and then unsubmitted in ROCIS. These requests may also be deleted from ROCIS (not reversible, cannot be recovered).
2. Submitted EO List – Includes requests that have been submitted to OIRA for review, but have not been accepted by OIRA in ROCIS. These requests may be unsubmitted which moves them back to the Unsubmitted EO List.

Submissions will normally remain in the Submitted EO List for two business days. If OIRA does not intervene, they are automatically received by ROCIS. OIRA has the ability to override this process by delaying the request or accepting the submission sooner.

3. Received EO List – Includes requests received by OIRA in ROCIS. The review starts when the request is received by OIRA. It also includes requests that have been opened for amendment by OIRA.

When the submission is received, it will appear on [the Reginfo.gov website \(www.reginfo.gov\)](http://www.reginfo.gov) as a pending review.

4. Concluded EO List – Includes requests for which OIRA has completed their review. Displays last 30 days of conclusions, by default.
5. Unpublished EO List – Includes approved requests that do not have the FR Publication Date entered in ROCIS.

Once OIRA approves the review, your Agency can publish the associated rulemaking document(s) in the Federal Register. Users with access to update the FR Publication Date for concluded EO packages (EORC and RRP users) have access to the 'Unpublished' list. This list will include approved, but not published, EO packages for RINs that have been, or will be, published in the Unified Agenda.

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The screenshot shows the ROCIS.gov UAI interface. The 'Inbox' menu is circled in red. The main content area displays the 'Unsubmitted EO Packages' list. The table below shows the data for these packages.

Date	Agency/Sub	Title	Stage of Rulemaking	Designation Request	EO Review Status	EO Review Status Date
09/07/2004	01	Pr D	Notice Stage	SIGNIFICANT	CREATED	09/07/2004
04/01/2005	01	N	Proposed Rule Stage	SIGNIFICANT	UNSUBMITTED	04/05/2005
04/12/2005	01	E 4(Interim Final Rule Stage	SIGNIFICANT	UNSUBMITTED	04/12/2005
06/07/2005	01	Si C 2:	Notice Stage	SIGNIFICANT	CREATED	06/07/2005
07/19/2005	01	M F:	Interim Final Rule Stage	SIGNIFICANT	UNSUBMITTED	08/08/2005
11/09/2007	01	D M	Prerule Stage	SIGNIFICANT	UNSUBMITTED	02/01/2008
04/21/2008	01	Si T:			CREATED	04/21/2008
07/22/2008	01	R: In	Prerule Stage	SIGNIFICANT	UNSUBMITTED	07/22/2008
08/20/2008	01	Si	Final Rule Stage	SIGNIFICANT	CREATED	08/20/2008
12/18/2008	01	Fi (C	Proposed Rule Stage	SIGNIFICANT	UNSUBMITTED	12/19/2008

Showing 1 to 10 of 29 entries

List shows all pending EO review packages (No Time Limit).

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Figure 5.1: Unsubmitted EO Packages List with Inbox Menu

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

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

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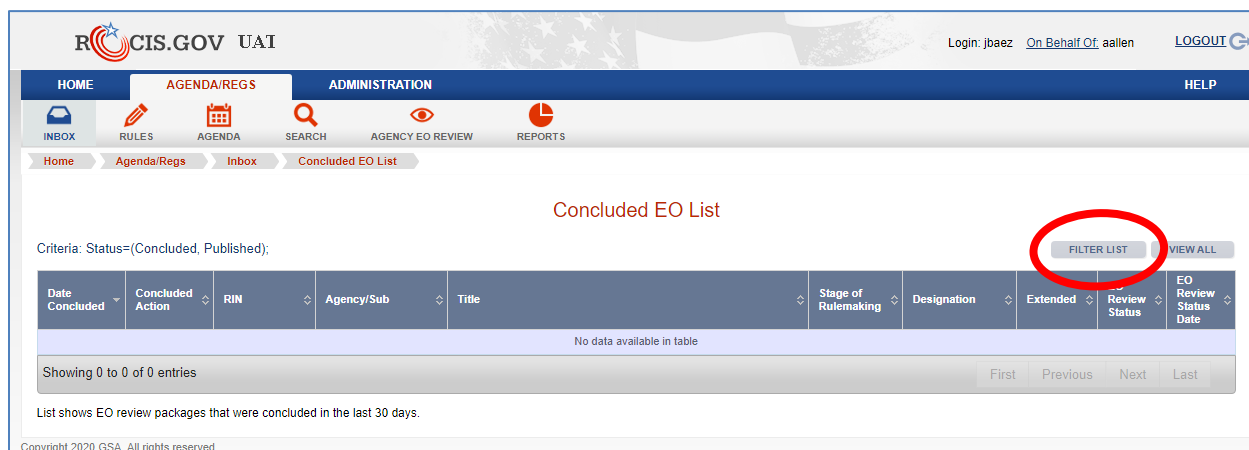


Figure 5.2: Concluded EO List with Filter List Button

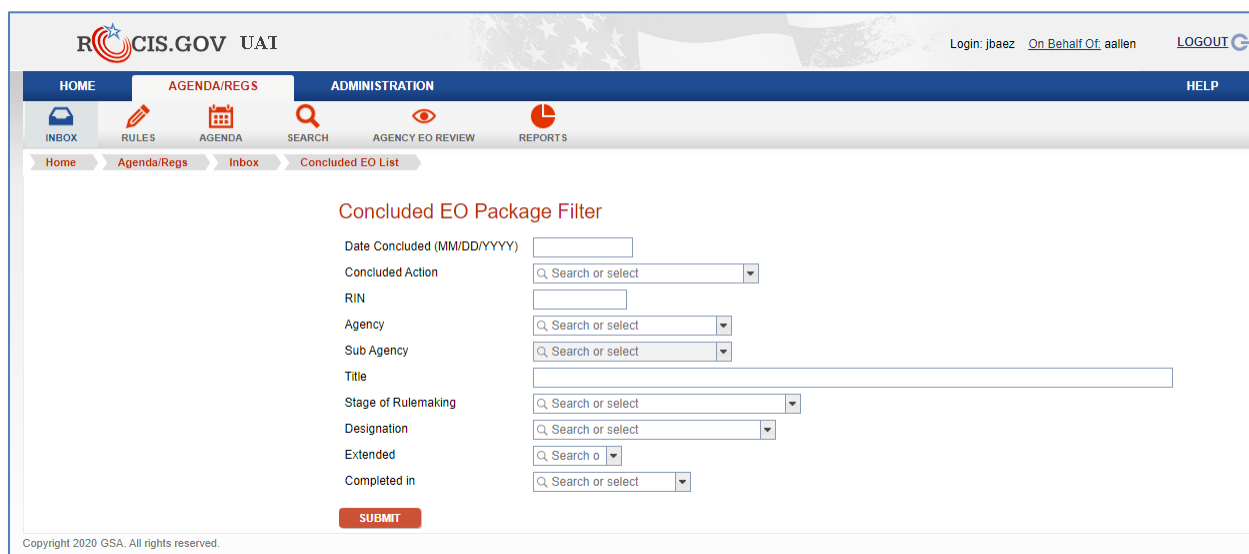


Figure 5.3: Concluded EO Package Filter Screen

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

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The screenshot displays the ROCIS.gov UAT interface. At the top, the header includes the ROCIS.GOV UAT logo, a login status for 'jbaez' (On Behalf Of: aallen), and a LOGOUT link. Below the header is a navigation bar with tabs for HOME, AGENDA/REGS, and ADMINISTRATION. The AGENDA/REGS tab is active, showing sub-links for INBOX, RULES, AGENDA, SEARCH, AGENCY EO REVIEW, and REPORTS. The main content area is titled 'Concluded EO List' and shows a criteria filter of 'Status=(Concluded, Published);'. A table with columns for Date Concluded, Concluded Action, RIN, Agency/Sub, Title, Stage of Rulemaking, Designation, Extended, EO Review Status, and EO Review Status Date is present. The table is currently empty, displaying 'No data available in table'. A 'Showing 0 to 0 of 0 entries' message is shown below the table. The 'VIEW ALL' button is circled in red. The footer includes a copyright notice for 2020 GSA.

Criteria: Status=(Concluded, Published);

Date Concluded	Concluded Action	RIN	Agency/Sub	Title	Stage of Rulemaking	Designation	Extended	EO Review Status	EO Review Status Date
No data available in table									

Showing 0 to 0 of 0 entries

List shows EO review packages that were concluded in the last 30 days.

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Figure 5.4: Concluded EO List with View All Button

6. CREATING A REGULATORY REVIEW REQUEST

To create an EO Regulatory Review package for a rule, the rule must already be in the Unified Agenda, which is another module within the ROCIS system. You can search the rules in the agenda by selecting the 'Search' icon and then choosing the 'Rule Search'.

There are many different ways to search for the rule. If you already know the Regulatory Identifying Number (RIN), simply enter it in the appropriate box. In this example, the user has selected his agency (0900) and associated sub agency (0905), so all rules in the current agenda for that sub agency will be returned in the search result.

Figure 6.1: Rule Search Screen

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The first column on the resultant screen is a link to the rule in the most recent agenda it appears in. Click on the link to review the rule information from the agenda.

NOTE: Whenever a column heading is underlined (like RIN, Agency or Rule Title in this screen shot) it can be used as a sort key. The RINs will come up in order by agency code. If you want to change the sort order, click on the column heading and the output will be reversed. Click on it again, and the sort order will be reversed again.

Normally, ROCIS displays 10 items per page. In this example, there are two pages of results. If you want to see all of the results without pagination, click 'View All' and ROCIS will create one long list with all of the items.

To select a rule, click on the RIN link.

The screenshot displays the ROCIS.gov UAT interface. The top navigation bar includes links for HOME, ADMINISTRATION, and HELP. Below this is a secondary navigation bar with icons for INBOX, RULES, AGENDA, SEARCH, AGENCY EO REVIEW, and REPORTS. The main content area is titled "Rule Search - Results" and shows the search criteria used: Agency (05) and Search Range (Current Agenda Only (Publication : 2013 October)). The results are displayed in a table with columns for RIN, Agency, Rule Title, and Pub ID. The table shows 10 entries, with the first entry having a RIN of 05 and Agency of 0905. A "VIEW ALL" button is located above the table. At the bottom of the table, it says "Showing 1 to 10 of 109 entries". The footer of the page includes the text "Copyright 2012 GSA. All rights reserved. Build 1.1.0 released."

<u>RIN</u>	<u>Agency</u>	<u>Rule Title</u>	<u>Pub ID</u>
05	0905	Ai	
05	0905	Te	
05	0905	St	
05	0905	Ni	
05	0905	Mi	
05	0905	Au	
05	0905	Gi	
05	0905	Ai	
05	0905	Cr	
05	0905		

Figure 6.2: Rule Search Results

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When you select a rule, ROCIS will display the 'View Rule' screen. This screen reflects information about the rule that has been generated by ROCIS (like RIN Created Date) or entered by a user.

To begin an EO Reg Review package, choose the EO Package link from the Rules menu.

The screenshot shows the ROCIS (Regulatory Information Service Center) interface. The top navigation bar includes links for HOME, RULES, AGENDA, SEARCH, AGENCY EO REVIEW, and REPORTS. The 'RULES' menu is highlighted with a red circle, showing a dropdown list of options: Request New RIN, View Rule, Update Rule, Contact, Timetable, EO Package, Regulatory Plan Information, and History. The 'View Rule' screen displays information for a specific rule, including fields for Title, RIN, RFA Section 610 Review, and various regulatory analysis sections like 'Regulatory Flexibility Analysis Required', 'Government Levels Affected', and 'Anticipated Costs and Benefits'.

View Rule 0:

Title: RFA Section 610 Review
RIN: 01
RFA Section 610 Review: Undetermined
Include in the Regulatory Plans: No
Priority: No
CFR Citation: CFR Citation

Legal Description:

Action Description	Source	Date	Description
Overall Description of Deadline			
Abstract			
TR			
Timetable			
RFA Section 610 Review			
Regulatory Flexibility Analysis Required			
Small Entities Affected (Optional)			
Government Levels Affected			
Federalism			
Agency has prepared or plans to prepare Statement of Energy Effects:			
International Impacts			
Additional Information			
Agency Sort Value 1			
Agency Sort Value 2			
Statement Of Need			
Summary Of the Legal Basis			
Alternatives			
Anticipated Costs and Benefits			
Risks			
For more information about this RIN:			
For public comments on this RIN:			
Initial (Administrative Startup and for Capital) Cost - \$			
Yearly (Annual Operating) Cost - \$			
Base Year of your dollar estimates			
Affected Sectors			
No associated records found			
Related RINs			
No associated records found			
Child RIN List			
No associated records found			
This is a reduced paper print Agency:			
Yes			
Printed in the FR Unified Agenda:			
No			
Displayed in the E-Unified Agenda:			
Yes			
Contact			

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Figure 6.3: View Rule Screen

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ROCIS will navigate to the EO Review Packages screen for the rule that was selected.

There may have been other packages for this rule that were submitted to OIRA previously, and the review already concluded. These would be displayed on this screen and would have a conclusion date. If there are previously reviewed packages, you can continue.

ROCIS may also reflect an EO package here that has been submitted but is not yet concluded—it is still pending at OIRA. In that case, you should not create a new package. ROCIS will only allow one EO Review package per RIN to be pending at any given time.

In this example, there are no other packages, so the process can be continued by clicking on the 'Create EO Review Package' button.

ROCIS.GOV UAT Login: jbaez3 LOGOUT

HOME ADMINISTRATION HELP

INBOX RULES AGENDA SEARCH AGENCY EO REVIEW REPORTS

Home > Agenda Regs > Rules > EO Package

RIN Created Date: 01/11/2012
RIN Created By: A
RIN Status: N

RIN Modified Date: 01/11/2012
RIN Modified By: A
Agenda Stage of Rulemaking: N

Agency/Sub-Agency: 01
Primary Agency Contact: N
Pub ID: 21

EO Review Packages 01

Tracking #	EO Stage of Rulemaking	Status	Status Date	Conclusion Action	Conclusion Date	Assigned Designation	Designation Date
No data available in table							

CREATE EO REVIEW PACKAGE

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Figure 6.4: EO Review Packages Screen with 'Create' Button

Once you click on 'Create EO Package', you will be presented with the EO Package screen for the rule that you selected. Most of the information needed for the package is copied from the Agenda and displayed to you in this screen.

ROCIS will save the EO package, and give you a confirmation message.

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HOME
AGENDA/REGS
EO 13771
PAPERWORK REDUCTION ACT (PRA)
PRIVACY
ADMINISTRATION
HELP

INBOX
OIRA INBOX
RULES
AGENDA
SEARCH
RIN UTILITIES
AGENCY EO REVIEW
OIRA EO REVIEW
REPORTS

Home
Agenda/Regs
Agency EO Review
EO Package

RIN:
 Stage of Rulemaking:
 Title:

Agency/Sub Agency:
 Submitted By:

Tracking #:
 Submitted Date:

✓ EO Review Package was successfully created at 08/30/2018 14:56:40 PM.

EO Review Package 0:

Unfunded Mandates

No ☐

Major

Undetermined ☐

Priority

Substantive, Nonsignificant ☐

Legal Authority

5 U.S.C. 1

CFR Citation

5 CFR 1

Legal Deadline

Action	Source	Date	Description
Final	Statutory	12/30/2016	Pl

Overall Description of Deadline

Pl
 re

Abstract

Tr
 th
 Ju
 th

Next Timetable Action

Action Description	Action Date	FR Cite
NPRM		
NPRM Comment Period End		
Final Action		
Final Action Effective		

Regulatory Flexibility Analysis Required

Undetermined ☐

Small Entities Affected

Businesses / Organizations

Government Levels Affected

None ☐

Federalism

No ☐

Agency has prepared or plans to prepare Statement of Energy Effects:

No ☐

Designation Status

Agency Tracking Number
 OIRA Designation

* EO Stage Of Rulemaking
 * Designation Request

* Is this action related to the Tax Cuts and Jobs Act [Pub. L. 115-97]? ☐ Yes ☐ No
1. Formally known as "An Act to provide for reconciliation pursuant to titles II and V of the concurrent resolution on the budget for fiscal year 2018."

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

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

* Does this rule require, authorize, or affect the creation, collection, use, processing, storage, maintenance, dissemination, disclosure, or disposal, by any entity, of personally identifiable information (see OMB Circular No. A-130 for an explanation of this term)? ☐ Yes ☐ No

* International Impacts? ☐ Yes ☐ No

Primary Documents	Date Uploaded	Uploaded By
No associated records found		

Regulatory Impact Analysis Documents	Date Uploaded	Uploaded By
No associated records found		

Paperwork Reduction Act

* Does the rule contain ICRs? ☐ Yes ☐ No

New OMB Control Number Will Be Requested: ☐

Existing OMB Numbers ADD

* Denotes Required Field

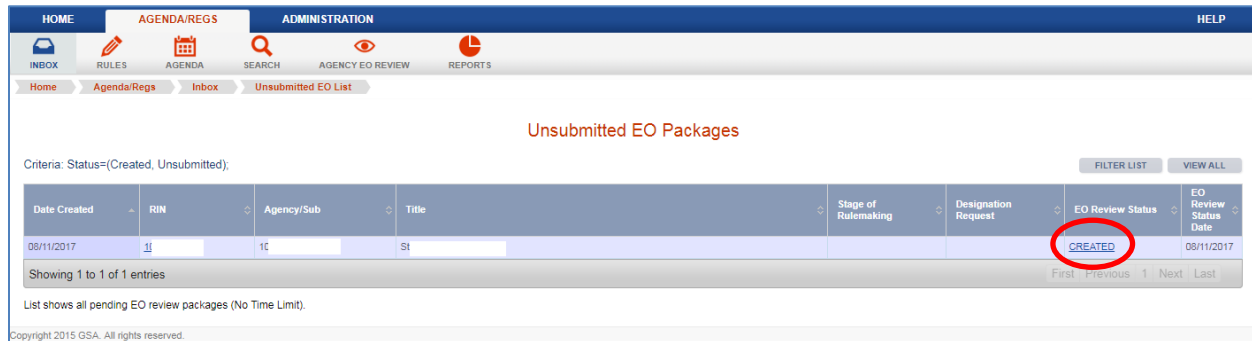
SAVE
DELETE
SUBMIT
CANCEL

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Figure 6.5: EO Review Package Screen

ROCIS How-To Guide for Agency Users of the Privacy Module Regulatory Information Service Center (RISC)

Your package now exists, and is available for updates at any time. You can continue to work on it now, or you can log off of ROCIS and come back later.



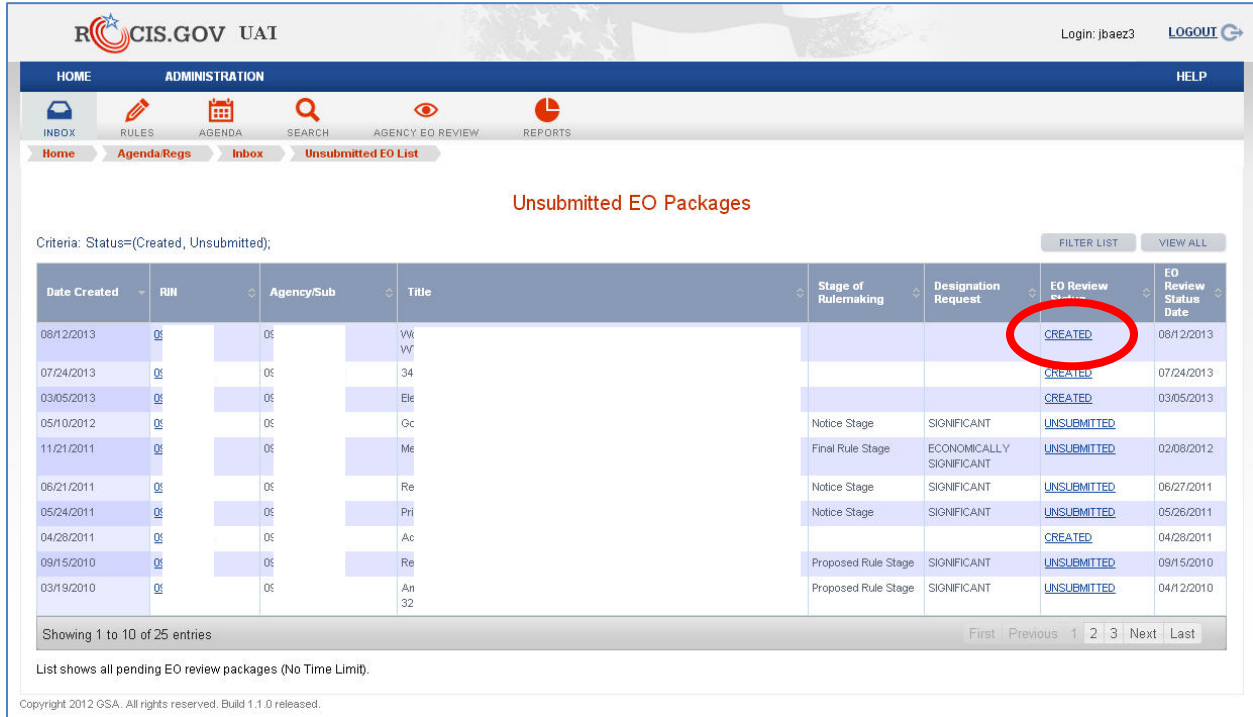
The screenshot shows the 'Unsubmitted EO Packages' page in the ROCIS system. The page has a navigation bar with 'HOME', 'AGENDA/REGS', and 'ADMINISTRATION'. Below the navigation bar, there are tabs for 'Home', 'Agenda/Regs', 'Inbox', and 'Unsubmitted EO List'. The main content area displays a table of unsubmitted EO packages. The table has columns for 'Date Created', 'RIN', 'Agency/Sub', 'Title', 'Stage of Rulemaking', 'Designation Request', 'EO Review Status', and 'EO Review Status Date'. A single entry is shown with 'Date Created' as '08/11/2017', 'RIN' as '11', 'Agency/Sub' as '10', and 'Title' as 'St'. The 'EO Review Status' is 'CREATED', which is circled in red. The 'EO Review Status Date' is '08/11/2017'. Below the table, it says 'Showing 1 to 1 of 1 entries' and 'List shows all pending EO review packages (No Time Limit)'. At the bottom, there is a copyright notice: 'Copyright 2015 GSA. All rights reserved.'

Date Created	RIN	Agency/Sub	Title	Stage of Rulemaking	Designation Request	EO Review Status	EO Review Status Date
08/11/2017	11	10	St			CREATED	08/11/2017

Figure 6.6: Unsubmitted EO Packages List (with New EO Package)

7. LOCATING AN EXISTING REGULATORY REVIEW PACKAGE

We discussed how to create an EO Review package, your inbox and how to see a list of all unsubmitted packages. For this example, we will use the unsubmitted list to access the EO Reg Review package to be updated. To bring up the package for edit, click on the 'CREATED' in the EO Review status column. NOTE: If you click on the RIN, you will be transferred to the 'View Rule' screen.



Criteria: Status=(Created, Unsubmitted);

Date Created	RIN	Agency/Sub	Title	Stage of Rulemaking	Designation Request	EO Review Status	EO Review Status Date
08/12/2013	05	05	Vk Vr			CREATED	08/12/2013
07/24/2013	05	05	34			CREATED	07/24/2013
03/05/2013	05	05	Ele			CREATED	03/05/2013
05/10/2012	05	05	Oc	Notice Stage	SIGNIFICANT	UNSUBMITTED	
11/21/2011	05	05	Me	Final Rule Stage	ECONOMICALLY SIGNIFICANT	UNSUBMITTED	02/08/2012
06/21/2011	05	05	Re	Notice Stage	SIGNIFICANT	UNSUBMITTED	06/27/2011
05/24/2011	05	05	Pri	Notice Stage	SIGNIFICANT	UNSUBMITTED	05/26/2011
04/28/2011	05	05	Ac			CREATED	04/28/2011
09/15/2010	05	05	Re	Proposed Rule Stage	SIGNIFICANT	UNSUBMITTED	09/15/2010
03/19/2010	05	05	An 32	Proposed Rule Stage	SIGNIFICANT	UNSUBMITTED	04/12/2010

Showing 1 to 10 of 25 entries

First Previous 1 2 3 Next Last

List shows all pending EO review packages (No Time Limit).

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Figure 7.1: Unsubmitted EO List Inbox

ROCIS will display the update screen for the EO package that was selected. Since most of the information was copied from the agenda, there is no data that needs to be added to this view of the package. However, the first two items below "EO Package" in the Agency EO Review menu indicate tasks that must be accomplished for all EO review packages, and the third is required if the rule is designated economically significant.

Click on the first of these items, the one labeled 'Contact'.

ROCIS How-To Guide for Agency Users of the Privacy Module Regulatory Information Service Center (RISC)

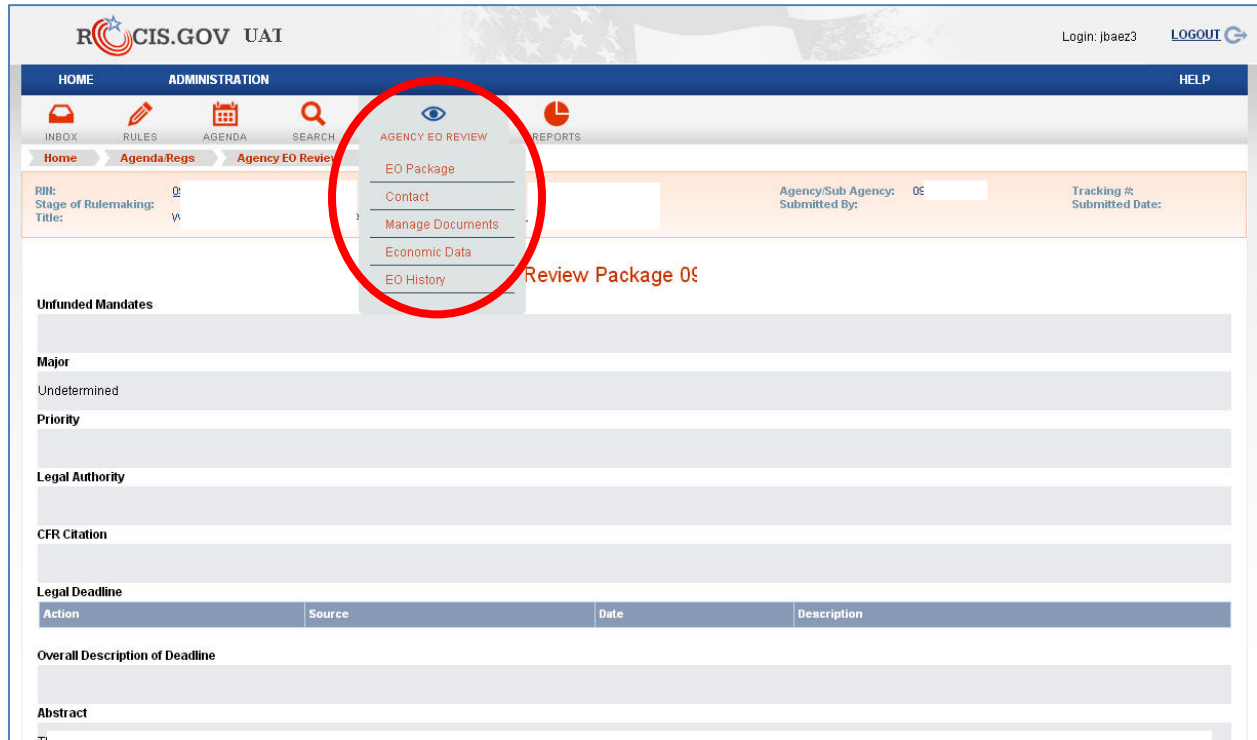


Figure 7.2: EO Review Package Screen and Agency EO Review Menu

8. ADDING AN EO CONTACT

The contact screen is displayed below. The contact that is identified for the EO Review package should be a subject matter expert who could answer any questions that the OIRA desk officer may have about the proposed rule.

Whenever ROCIS has a drop down list of values from which to choose, there is a small arrow at the end of the input box. For the list of contacts, ROCIS will display the values that the user is authorized to select from. To display the list, click on the downward arrow to the right of the contact box.

A list of contacts or users that can be selected will be displayed for you. If the name of the person that you wish to select is in the list, scroll to that name, and click the 'Add Existing Contact' button.

ROCIS.GOV UAT Login: jbaez3 LOGOUT

HOME ADMINISTRATION HELP

INBOX RULES AGENDA SEARCH AGENCY EO REVIEW REPORTS

Home Agenda Regs Agency EO Review Contact

RUI: 0
Stage of Rulemaking: 0
Title: 0

Agency/Sub Agency: 0
Submitted By: 0
Tracking #: 0
Submitted Date: 0

EO Contact List 0

Sort Order	Agency	Name	Phone Number	Email	Remove
No data available in table					

Note: Drag and drop an entry to a new location to change the order of contact list.

Available Contact(s) 0

ADD EXISTING CONTACT ADD NEW CONTACT

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Figure 8.1: EO Contact List Screen

If the name of the person you want to reference is not in the list, you will need to add the individual as a contact. To do that, select the 'Add New Contact' button.

In an effort to reduce or eliminate duplicate entries, ROCIS will force a search through the administrative task 'ROCIS Contact Administration' for the name you want to add. Enter some portion of the name that you want to use, and then click on the 'Search' button (hitting enter does not cause a search to occur).

The search results will be displayed at the bottom of the screen. The persons located through this search are not limited to EO Reg Review contacts. They represent all types of ROCIS

ROCIS How-To Guide for Agency Users of the Privacy Module Regulatory Information Service Center (RISC)

contacts for your agency/sub agency, including those for the agenda module, the PRA 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.

The screenshot shows the ROCIS Contact Administration interface. At the top, there's a header with 'ROCIS.GOV UAT' and a login/logout section. Below this is a navigation bar with 'HOME' and 'ADMINISTRATION' tabs. The 'ADMINISTRATION' tab is active, showing sub-links for 'USER PROFILE', 'CHANGE PASSWORD', 'RECERTIFICATION', 'EMPLOYEE ADMIN', 'OIRA EMPLOYEE', and 'AGENCIES'. The 'Employee Admin' sub-link is selected, leading to the 'Search Contacts' page.

The main content area is titled 'ROCIS Contact Administration'. It features a search form with a 'Last Name' input field containing 'ba' and a 'SEARCH' button. Below the search form, a note states: 'Note: In order to add a new contact you must first search on the Last Name.' Another note below that says: 'Please ensure that the contact you want to create is not one of the existing contacts displayed below.'

Below the notes are 'ADD' and 'CANCEL' buttons, and a 'VIEW ALL' link. The main part of the screen is a table of search results. The table has columns for 'Agency', 'Name', 'Phone Number', 'Email', and 'Employee No'. The results show 10 entries, with the first 10 displayed. The first entry is for '0900 HHS' with 'Name' 'Julio Baez', 'Phone Number' '41', 'Email' 'jbaez3@hhs.gov', and 'Employee No' '100512'. The second entry is for '0900 HHS' with 'Name' 'Julio Baez', 'Phone Number' '122187', 'Email' 'jbaez3@hhs.gov', and 'Employee No' '100435'. The third entry is for '0905 PHS' with 'Name' 'Julio Baez', 'Phone Number' '100435', 'Email' 'jbaez3@hhs.gov', and 'Employee No' '100450'. The fourth entry is for '0905 PHS' with 'Name' 'Julio Baez', 'Phone Number' '100450', 'Email' 'jbaez3@hhs.gov', and 'Employee No' '100454'. The fifth entry is for '0905 PHS' with 'Name' 'Julio Baez', 'Phone Number' '100606', 'Email' 'jbaez3@hhs.gov', and 'Employee No' '100496'. The sixth entry is for '0906 HRSA' with 'Name' 'Julio Baez', 'Phone Number' '131787', 'Email' 'jbaez3@hhs.gov', and 'Employee No' '132362'. The seventh entry is for '0906 HRSA' with 'Name' 'Julio Baez', 'Phone Number' '132362', 'Email' 'jbaez3@hhs.gov', and 'Employee No' '103016'. The eighth entry is for '0910 FDA' with 'Name' 'Julio Baez', 'Phone Number' '103016', 'Email' 'jbaez3@hhs.gov', and 'Employee No' '103016'. The ninth entry is for '0910 FDA' with 'Name' 'Julio Baez', 'Phone Number' '103016', 'Email' 'jbaez3@hhs.gov', and 'Employee No' '103016'. The tenth entry is for '0910 FDA' with 'Name' 'Julio Baez', 'Phone Number' '103016', 'Email' 'jbaez3@hhs.gov', and 'Employee No' '103016'.

At the bottom of the table, it says 'Showing 1 to 10 of 28 entries'. Below the table, there's a pagination control with 'First', 'Previous', '1', '2', '3', 'Next', and 'Last' buttons. The footer of the page says 'Copyright 2012 GSA. All rights reserved. Build 1.1.0 released.'

Figure 8.2: Contact Administration Screen with Search Results

In this example, Julio Baez was selected. Julio is in ROCIS as a contact for the agenda module. That can be determined by noting the arrow next to 'RIN Contact'. The arrow and active status are not highlighted because your role does not allow you to change agenda contacts. However,

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you can make Julio a contact for the EO Reg Review process by clicking on the box next to 'EO Contact'.

ROCIS.GOV UAI Login: jbaez3 LOGOUT

HOME ADMINISTRATION HELP

USER PROFILE CHANGE PASSWORD RECERTIFICATION EMPLOYEE ADMIN OIRA EMPLOYEE AGENCIES

Home Administration Employee Admin Edit Contact

Edit Contact Detail

* Denotes Required Field.

Personal Information

Prefix

* First Name J

Middle Name

* Last Name B

Suffix

Employee Number 1

Title

* Agency 0

Sub Agency

Address

Street Address

City

State

Zip

Communications

Telephone, TDD and Fax must contain exactly 10 digits and can be separated by (,), - or a blank. Such as 999-999-9999, (999)999999, 999 999 9999 and 9999999999

* Telephone 999 999-9999 Ext.

TDD

Fax

E-Mail

Contact Modules

This field is required

RIN Contact	<input checked="" type="checkbox"/>	<input type="radio"/> Active	<input type="radio"/> Inactive
EO Contact	<input checked="" type="checkbox"/>	<input checked="" type="radio"/> Active	<input type="radio"/> Inactive
PRA Contact	<input type="checkbox"/>	<input type="radio"/> Active	<input type="radio"/> Inactive
OIA Contact	<input type="checkbox"/>	<input type="radio"/> Active	<input type="radio"/> Inactive

SAVE CANCEL

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Figure 8.3: Edit Contact Detail Screen for Existing Contact

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

If the contact you wish to add is not found in the search of all existing contacts, click on the 'Add' button.

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ROCIS.GOV UAT

Login: jt LOGOUT

HOME ADMINISTRATION HELP

USER PROFILE CHANGE PASSWORD RECERTIFICATION EMPLOYEE ADMIN OIRA EMPLOYEE AGENCIES

Home Administration Employee Admin Search Contacts

ROCIS Contact Administration

Last Name:

SEARCH

Note: In order to add a new contact you must first search on the Last Name.

Please ensure that the contact you want to create is not one of the existing contacts displayed below.

ADD CANCEL

DISPLAY LIST

Agency	Name	Phone Number	Email	Employee No
05	[redacted]	999 999-9999	[redacted]	10

Showing 1 to 1 of 1 entries

First Previous 1 Next Last

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Figure 8.4: Contact Administration Screen

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New Contact Detail

* Denotes Required Field.

Personal Information

Prefix

* First Name

Middle Name

* Last Name

Suffix

Title

* Agency

Address

Street Address

City

State

Zip

Contact Modules

This field is required

Contact Type	Active	Inactive
RIN Contact <input type="checkbox"/>	<input type="radio"/> Active	<input type="radio"/> Inactive
EO Contact <input checked="" type="checkbox"/>	<input checked="" type="radio"/> Active	<input type="radio"/> Inactive
PRA Contact <input type="checkbox"/>	<input type="radio"/> Active	<input type="radio"/> Inactive
ODR Contact <input type="checkbox"/>	<input type="radio"/> Active	<input type="radio"/> Inactive

Communications

Telephone, TDD and Fax must contain exactly 10 digits and can be separated by (), - or a blank.
Such as 999-999-9999, (999)999-9999, 999 999 9999 and 9999999999

* Telephone Ext.

TDD

Fax

E-Mail

CREATE CONTACT **CANCEL**

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Figure 8.5: New Contact Detail Screen

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

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

In this example, the user has access to both ‘0600’, the agency code for Department of Commerce, and the sub agency ‘0607’, the Census Bureau, so both numbers are listed in the drop down list. If the user selects ‘0600’ as Nancy’s (the new contact), agency, Nancy Smith will appear as an EO contact for any sub agency within Commerce. If she is associated with 0607, she will only be a contact for Census. If someone were to create an EO package for sub agency 0605, Nancy would not appear in the list. If Nancy was supposed to be a contact for 0605, another contact record would have to be added showing her agency as ‘0605’. If Nancy should be a contact for all sub agencies within Commerce, but you don’t have access to ‘0600’, please

ROCIS How-To Guide for Agency Users of the Privacy Module Regulatory Information Service Center (RISC)

contact someone who does and ask that user to set up Nancy's contact record. You can use the Employee Admin search described above to find someone with access to '0600'. Click 'Create Contact' at the bottom of the screen. The new contact will be saved, and you will be returned to the 'EO Contact List' screen. All of the contacts that you have selected will be displayed. You can manipulate the order of the contacts by dragging and dropping the listed contacts to the desired sort position. You can also remove a contact by clicking on 'Remove' button.

If the contact information is complete, select the 'Manage Documents' option in the Agency EO Review menu to move to the new item required for the EO review package.

ROCIS.GOV UAT

HOME ADMINISTRATION HELP

INBOX RULES AGENDA SEARCH AGENCY EO REVIEW REPORTS

Home AgendaRegs Agency EO Review Contact

RIID: Stage of Rulemaking: Title: Agency/Sub Agency: Submitted By: Tracking #: Submitted Date:

EO Contact List 0905-AH97

Sort Order	Agency	Name	Phone Number	Email	Remove
1	05	Bj	999 95	ju	
2	05	Av	202 65	8i	

Note: Drag and drop an entry to a new location to change the order of contact list.

Available Contact(s)

ADD EXISTING CONTACT ADD NEW CONTACT SAVE ORDER

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Figure 8.6: Completed EO Contact List Screen

9. UPLOADING REGULATORY REVIEW DOCUMENTS

To upload (electronically attach) the required documents, wave your mouse over the Agency EO Review icon to expand the menu and select 'Manage Documents'.

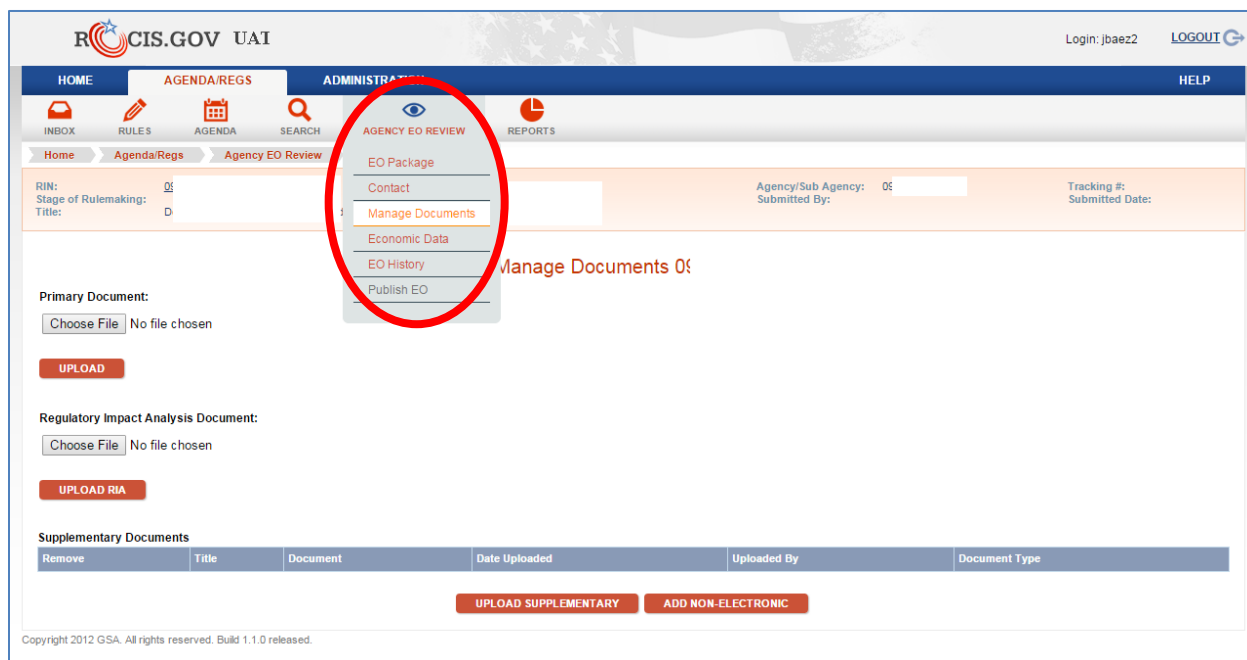


Figure 9.1: Manage Documents Screen

Every EO REG Review submission requires a rule document, which is considered the primary document for the EO package. It is often referred to as the proposed rule document, not because of the stage of rulemaking, but because it is the text being proposed by the agency.

The document to be uploaded must already be stored on your desktop in an electronic format. ROCIS will allow you to update almost any type of file. Most primary document files uploaded are either Word, Word Perfect or PDF formats. If your primary document is a Word file, insure that all final changes are accepted before the document is uploaded. There should be no comments or edits viewable in the document.

To upload a new document, click on the 'Browse' button. A new pop-up window will appear, displaying a list of files or directories for your desktop computer. Navigate through your files until the document to be uploaded is located. Click on the file name, and the name will be displayed in the 'file name' window near the bottom of the pop-up. Next, click the 'Open' button, and the path to the document will appear in the ROCIS window on the 'Manage Documents' screen. Finally, click the 'Upload' button, and ROCIS will attach the file electronically to your submission.

ROCIS How-To Guide for Agency Users of the Privacy Module Regulatory Information Service Center (RISC)

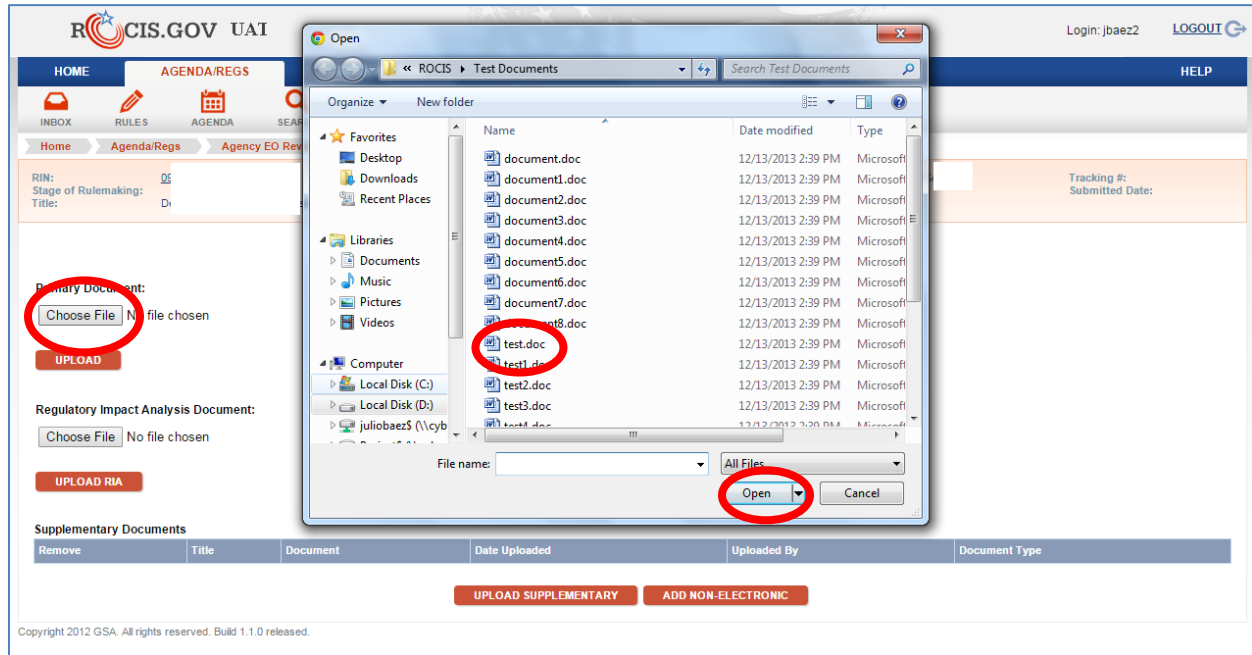


Figure 9.2: Upload Document Pop-up Screen with File Selected and Open Button

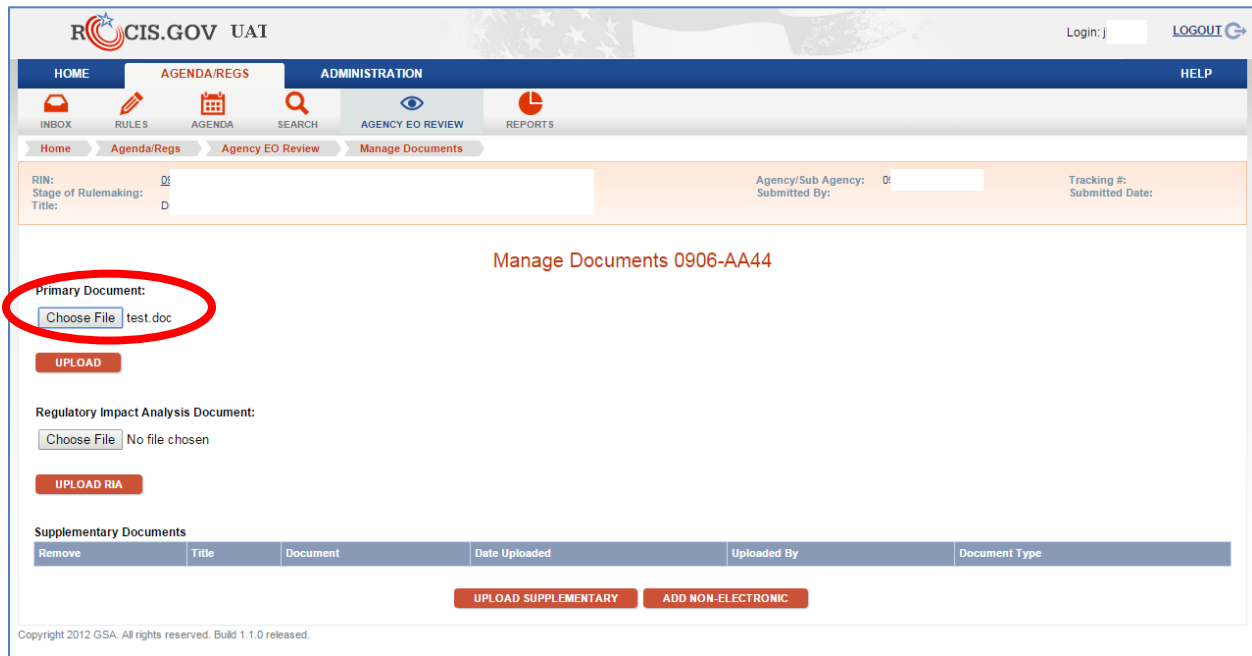


Figure 9.3: Manage Documents Screen with Path to Selected Document

ROCIS How-To Guide for Agency Users of the Privacy Module Regulatory Information Service Center (RISC)

The screenshot shows the ROCIS (Regulatory Information Service Center) interface for agency users. The top navigation bar includes links for HOME, AGENDA/REGS, and ADMINISTRATION. The main content area is titled 'Manage Documents 0!'. It features three main sections: 'Primary Document', 'Regulatory Impact Analysis Document', and 'Supplementary Documents'. The 'Primary Document' section shows a file named 'test.doc' uploaded. The 'Regulatory Impact Analysis Document' section shows a 'Choose File' button and 'No file chosen'. The 'Supplementary Documents' section is a table with columns for Remove, Title, Document, Date Uploaded, Uploaded By, and Document Type. At the bottom, there are buttons for 'UPLOAD SUPPLEMENTARY' and 'ADD NON-ELECTRONIC'.

Primary Document: test.doc

Choose File No file chosen

UPLOAD

Regulatory Impact Analysis Document:

Choose File No file chosen

UPLOAD RIA

Supplementary Documents

Remove	Title	Document	Date Uploaded	Uploaded By	Document Type
--------	-------	----------	---------------	-------------	---------------

UPLOAD SUPPLEMENTARY ADD NON-ELECTRONIC

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Figure 9.4: Manage Document Screen with Primary Document Uploaded

If you find that you want to replace this file before the request is submitted, simply repeat the steps above. Since there can be only one primary document, any new document uploaded will replace the one that is there.

Although only the primary document is required, OIRA encourages agency users to include a separate Regulatory Impact Assessment (RIA) document with their EO packages. To upload an RIA, follow the same steps for uploading a primary document.

ROCIS How-To Guide for Agency Users of the Privacy Module Regulatory Information Service Center (RISC)

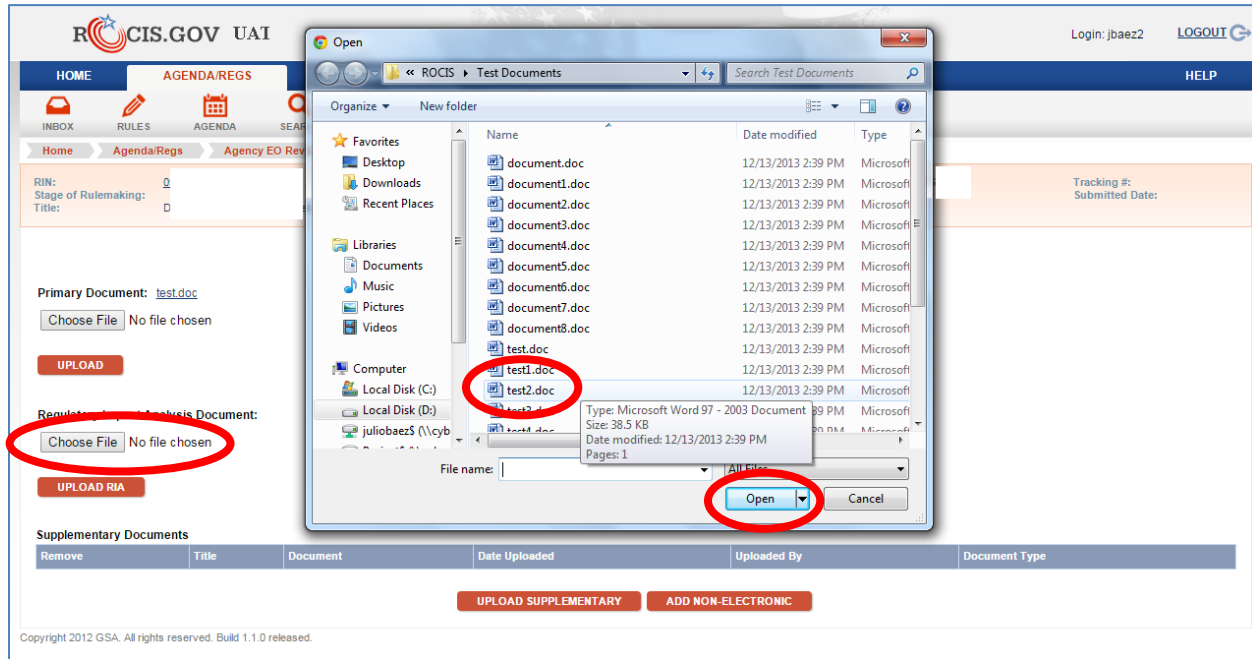


Figure 9.5: Upload Document Pop-up Screen with File Selected and Open Button

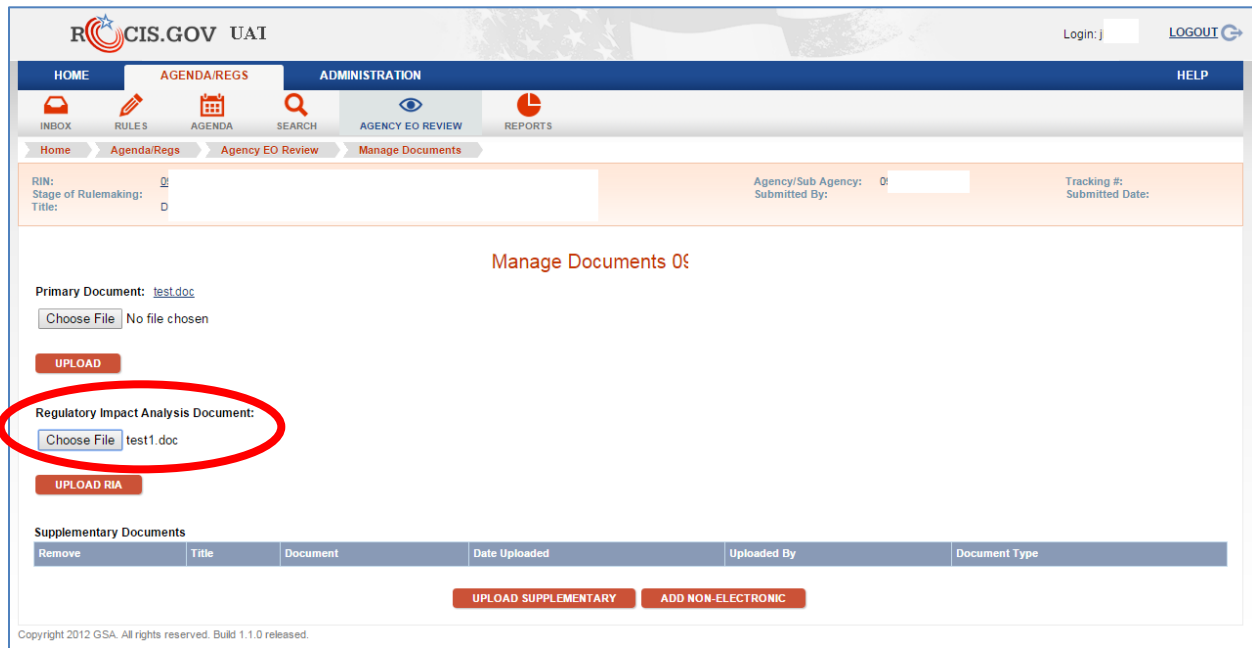
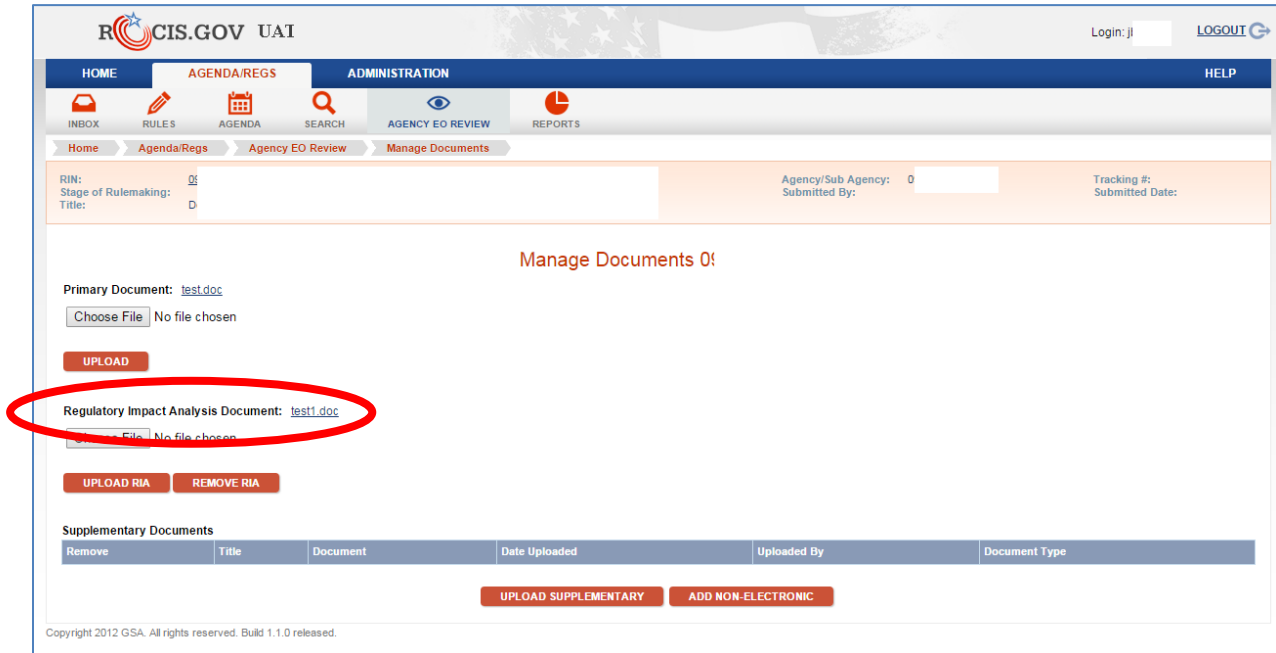


Figure 9.6: Manage Document Screen with Path to Selected Document

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ROCIS.GOV UAI Login: jl LOGOUT

HOME AGENDA/REGS ADMINISTRATION HELP

INBOX RULES AGENDA SEARCH AGENCY EO REVIEW REPORTS

Home Agenda/Regs Agency EO Review Manage Documents

RIN: Stage of Rulemaking: Title: Agency/Sub Agency: Submitted By: Tracking #: Submitted Date:

Manage Documents 0!

Primary Document: [test.doc](#)
Choose File No file chosen
UPLOAD

Regulatory Impact Analysis Document: [test1.doc](#)
Choose File No file chosen
UPLOAD RIA REMOVE RIA

Supplementary Documents

Remove	Title	Document	Date Uploaded	Uploaded By	Document Type
--------	-------	----------	---------------	-------------	---------------

UPLOAD SUPPLEMENTARY ADD NON-ELECTRONIC

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Figure 9.7: Manage Document Screen with Primary Document Uploaded

Users may want to include other documents in the package for OIRA to consider during the review. These documents can be uploaded as supplementary documents. To upload additional documents, click on the 'Upload Supplementary' button.

ROCIS How-To Guide for Agency Users of the Privacy Module Regulatory Information Service Center (RISC)

Figure 9.8: Manage Documents Screen

Since multiple supplementary documents can be uploaded, each will need to be identified with a title and document date.

After entering those two items, the process to upload the document is identical to that for a primary document. Click on the 'Browse' button to locate the document.

Figure 9.6: Upload Supplementary Pop-Up Screen

If a document needs to be removed, check the box to the left of the document name, and click on the 'Remove' button.

ROCIS How-To Guide for Agency Users of the Privacy Module Regulatory Information Service Center (RISC)

The screenshot shows the ROCIS Manage Documents screen. At the top, there is a navigation bar with links for HOME, AGENDA/REGS, ADMINISTRATION, and HELP. Below this is a sub-navigation bar with links for INBOX, RULES, AGENDA, SEARCH, AGENCY EO REVIEW, and REPORTS. The main content area has a breadcrumb trail: Home > Agenda/Regs > Agency EO Review > Manage Documents. There are input fields for RIN, Stage of Rulemaking, Title, Agency/Sub Agency, Submitted By, and Tracking #. The main heading is "Manage Documents 0". Below this, there are sections for "Primary Document" and "Regulatory Impact Analysis Document", each with a "Choose File" button and an "UPLOAD" button. At the bottom, there is a table titled "Supplementary Documents" with columns: Remove, Title, Document, Date Uploaded, Uploaded By, and Document Type. The table contains one row with the title "Test", document "test2.doc", date "07/15/2015", and user "jt". A red circle is drawn around the "Remove" button in the first column of the table. Below the table, there are buttons for "UPLOAD SUPPLEMENTARY" and "ADD NON-ELECTRONIC".

Remove	Title	Document	Date Uploaded	Uploaded By	Document Type
<input type="checkbox"/>	Test	test2.doc	07/15/2015	jt	

Figure 9.7: Manage Documents Screen with Uploaded Supplementary Document

ROCIS also provides the user with the ability to provide a document to OIRA that is not in a machine readable format. However, this should be viewed as a measure of last resort, since the document will need to be hand delivered to the New Executive Office building by a government employee. The agency employee will need to call the OIRA Records Management Center at 202-395-6880 to make an appointment to drop off the document.

To create a cover sheet, click on the 'Add Non-Electronic Document' button. The cover sheet will need to be filled out and then printed. It should be attached to the document so that when the document is received at OIRA, it can be routed to the appropriate desk officer to be included with the EO package.

ROCIS How-To Guide for Agency Users of the Privacy Module
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Cover Sheet

Document Information	
RIN :	
Title:	EC
Publication Information :	Te
Created Date :	08

Author(s)	
First Name:	JL
Last Name:	B:
Affiliation:	PI

Contact Information	
Creator Name:	JL
Agency:	D
Address 1:	
Address 2:	
Address 3:	
City:	
State:	
Zip:	
Phone:	999 999-9999
Fax:	
E-mail:	jl

PRINT CLOSE WINDOW

Figure 9.8: Cover Sheet for Non-Electronic Documents

10. ENTERING ECONOMIC DATA

If the package you are building is for an economically significant rule, economic data will need to be included in the package before it can be submitted. To enter economic data, choose the Economic Data option in the Agency EO Review menu.

ROCIS.GOV UAI

Login: jf LOGOUT

HOME ADMINISTRATION HELP

INBOX RULES AGENDA SEARCH AGENCY EO REVIEW REPORTS

Home Agenda Regs Agency EO Review

RIN: 02
Stage of Rulemaking: 02
Title: 02

Agency/Sub Agency: 02
Submitted By: 02
Tracking #: 02
Submitted Date: 02

Economic Data 02

Working Version of Costs and Benefits Statement

Category	Primary Estimate	Low Estimate	High Estimate	Units			Notes
				Year Dollars	Disc	Period Covered	
Benefits							
EDIT							
Annualized Monetized \$millions/year					7%		
					3%		
Annualized Quantified					7%		
					3%		
Qualitative							
Costs							
EDIT							
Annualized Monetized \$millions/year					7%		
					3%		
Annualized Quantified					7%		
					3%		
Qualitative							
Transfers							
EDIT							
Federal Annualized Monetized \$millions/year					7%		
					3%		
From/To	From:			To:			
Other Annualized Monetized \$millions/year					7%		
					3%		
From/To	From:			To:			
Effects							
EDIT							
State, Local, and/or Tribal Government							
Small Business							
Wages							
Growth							

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Figure 10.1: Economic Data Screen

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Economic data is highly specialized, and should be supplied by an economist at your organization. If there is a problem in entering the economic data, call the ROCIS Help Desk at 866-450-5250 to ask for assistance.

11. SUBMITTING A REGULATORY REVIEW REQUEST

Now that the package has been created, the contact added, the documents uploaded and, if necessary, the economic data entered, the EO Reg Review request is almost ready to be submitted to ROCIS.

Return to the EO Package screen and scroll down to the bottom.

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HOME

AGENDA/REGS

ADMINISTRATION

HELP

INBOX

RULES

AGENDA

SEARCH

AGENCY EO REVIEW

REPORTS

Home

Agenda/Regs

Agency EO Review

EO Package

RIN:

11

Agency/Sub Agency:

11

Tracking R:

Stage of Rulemaking:

S

Title:

Submitted By:

Submitted Date:

EO Review Package 11

Unfunded Mandates

No

Major

No

Priority

Other Significant

Legal Authority

30 U.S.C. 1

CFR Citation

30 CFR 1

Legal Deadline

Action	Source	Date	Description
None	None		

Overall Description of Deadline

Abstract

The final rule published December 20, 2016 (81 FR 93066) and became effective January 19, 2017. The final rule was nullified by a joint resolution of disapproval under the Congressional Review Act, signed by the President on February 16, 2017 (Pub. L. 115-5). This action conforms to Public Law 115-5 by changing the Code of Federal Regulations to reflect the regulations as they existed before the effective date of the final rule that was nullified under the Congressional Review Act.

Next Timetable Action

Action Description	Action Date	FR Cite
A	11/30/2009	Z
A	12/30/2009	
N	07/27/2015	B
N	09/10/2015	B
N	09/25/2015	
N	10/26/2015	
F	12/29/2016	B
F	01/19/2017	
F	07/09/2017	

Regulatory Flexibility Analysis Required

Businesses

Small Entities Affected

Government Levels Affected

State

Federalism

No

Agency has prepared or plans to prepare Statement of Energy Effects:

Undetermined

Designation Status

SIGNIFICANT

Agency Tracking Number

EO Stage Of Rulemaking

OIRA Designation

SIGNIFICANT

Designation Request

OIRA Designation

SIGNIFICANT

Designation Request

* Is this action related to the Affordable Care Act (PPACA, P.L. 111-148 & 111-152)?

Yes

No

* Is this action related to the Dodd-Frank Act [Dodd-Frank Wall Street Reform and Consumer Protection Act, P.L. 111-203]?

Yes

No

* Does this rule require, authorize, or affect the creation, collection, use, processing, storage, maintenance, dissemination, disclosure, or disposal, by any entity, of personally identifiable information (see OMB Circular No. A-130 for an explanation of this term)?

Yes

No

* International Impacts?

Yes

No

Primary Documents

Date Uploaded

Uploaded By

No associated records found

Regulatory Impact Analysis Documents

Date Uploaded

Uploaded By

No associated records found

Paperwork Reduction Act

* Does the rule contain ICRs?

Yes

No

New OMB Control Number Will Be Requested:

Existing OMB Numbers

ADD

* Denotes Required Field

SAVE

DELETE

SUBMIT

CANCEL

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Figure 11.1: EO Review Package Screen

ROCIS How-To Guide for Agency Users of the Privacy Module
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There are several additional items that must be entered into the request.

The first is the stage of rulemaking. Select the appropriate value from the drop down list provided by ROCIS.

Next is the Designation. Again, there is a drop down list with three options available.

Choose 'Economically Significant' if the rule will have an annual effect on the economy of \$100 million or more.

Choose 'Significant' if the rule will adversely affect in a material way the economy, a sector of the economy, a sector of the economy, productivity, competition, jobs, the environment, public health or safety, or State, local, or tribal governments or communities. Any rules that create a serious inconsistency or otherwise interfere with an action taken or planned by another agency, materially alter the budgetary impact of entitlements, grants, user fees, or loan programs or the rights and obligations of recipients thereof; or raise novel legal or policy issues arising out of legal mandates, the President's priorities, or the principles set forth in this Executive order would also be designated 'Significant'.

Choose 'Not Significant' for anything not covered above.

Indicate whether or not the rule is related to the Tax Cuts and Jobs Act [Pub. L. 115-97]¹ by selecting the appropriate option.

1. Formally known as "An Act to provide for reconciliation pursuant to titles II and V of the concurrent resolution on the budget for fiscal year 2018."

Indicate whether or not the rule is related to the [COVID-19] Pandemic Response by selecting the appropriate option.

Indicate whether or not the rule is related to the Affordable Care Act by selecting the appropriate option.

Indicate whether or not the rule is related to the Dodd-Frank Act by selecting the appropriate option.

Indicate whether or not the rule requires, authorizes, or affects the creation, collection, use, processing, storage, maintenance, dissemination, disclosure, or disposal, by any entity, of personally identifiable information by selecting the appropriate option.

Indicate whether or not the rule has international impacts.

ROCIS How-To Guide for Agency Users of the Privacy Module Regulatory Information Service Center (RISC)

Before the package can be saved, the question pertaining to ICRs must be answered. ICR stands for information collection request. These are requests that are reviewed by OIRA under the Paperwork Reduction Act, and eventually assigned an OMB control number. If you know the associated OMB control numbers, or know that one or more will eventually be collected, you can answer the related questions and then save the EO package. If you do not know, simply answer 'no' to save the package, and check with a paperwork contact at your office.

To find an ICR expert at your office, use the 'Employee Administration ' search described earlier, and search for someone from your agency with the role of Authorized Paperwork Contact (APC). If you do not find anyone by searching on your sub agency, try the search again using your agency code.

None

Federalism

No

Agency has prepared or plans to prepare Statement of Energy Effects:

No

Designation Status

Agency Tracking Number

* EO Stage Of Rulemaking

OIRA Designation

* Designation Request

* Is this action related to the Tax Cuts and Jobs Act [Pub. L. 115-97]? ☐ Yes ☒ No
1. Formally known as "An Act to provide for reconciliation pursuant to titles II and V of the concurrent resolution on the budget for fiscal year 2018."

* Is this action related to the Pandemic Response? ☐ Yes ☒ No

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

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

* Does this rule require, authorize, or affect the creation, collection, use, processing, storage, maintenance, dissemination, disclosure, or disposal, by any entity, of personally identifiable information (see [OMB Circular No. A-130](#) for an explanation of this term)? ☐ Yes ☒ No

* International Impacts? ☐ Yes ☒ No

Primary Documents	Date Uploaded	Uploaded By

Regulatory Impact Analysis Documents	Date Uploaded	Uploaded By
No associated records found		

Paperwork Reduction Act

* Does the rule contain ICRs? ☐ Yes ☒ No

New OMB Control Number Will Be Requested: ☐

Existing OMB Numbers

* Denotes Required Field

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Figure 11.2: Bottom of EO Package Screen

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None

Federalism

No

Agency has prepared or plans to prepare Statement of Energy Effects:

No

Designation Status

Agency Tracking Number

EO Stage Of Rulemaking

Proposed Rule Stage

OIRA Designation

Designation Request

NOT SIGNIFICANT

* Is this action related to the Tax Cuts and Jobs Act [Pub. L. 115-97]? ☐ Yes ☒ No

1. Formally known as "An Act to provide for reconciliation pursuant to titles II and V of the concurrent resolution on the budget for fiscal year 2018."

* Is this action related to the Pandemic Response? ☐ Yes ☒ No

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

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

* Does this rule require, authorize, or affect the creation, collection, use, processing, storage, maintenance, dissemination, disclosure, or disposal, by any entity, of personally identifiable information (see [OMB Circular No. A-130](#) for an explanation of this term)? ☐ Yes ☒ No

* International Impacts? ☐ Yes ☒ No

Primary Documents	Date Uploaded	Uploaded By

Regulatory Impact Analysis Documents	Date Uploaded	Uploaded By
No associated records found		

Paperwork Reduction Act

* Does the rule contain ICRs? ☐ Yes ☒ No

New OMB Control Number Will Be Requested: ☐

Existing OMB Numbers

ADD

* Denotes Required Field

SAVE

DELETE

SUBMIT

CANCEL

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Figure 11.3: Bottom of EO Package Screen with Data Entered

The request is now ready to be submitted. Whether the 'Submit' button is available on your screen depends on your level of access to the EO REG Review module. If you do not have the 'Submit' button, save your request and notify an EORC at your organization that the request is ready to be submitted to OIRA. If you do not know who has EORC privileges, refer to the section on User/Contact Search to perform a search by agency and role.

If the 'Submit' button does appear on your screen, simply click it. ROCIS will reply with a confirmation message. If everything looks fine, click 'OK'. The request will immediately be submitted to OIRA, and you will be transferred to your 'Submitted Request List' where you can see the request status.

ROCIS How-To Guide for Agency Users of the Privacy Module Regulatory Information Service Center (RISC)

The screenshot shows the 'EO Review Package' screen in the ROCIS.GOV UAI system. The top navigation bar includes 'HOME', 'ADMINISTRATION', and 'HELP'. Below this is a secondary navigation bar with icons for 'INBOX', 'RULES', 'AGENDA', 'SEARCH', 'AGENCY EO REVIEW', and 'REPORTS'. The main content area has a breadcrumb trail: 'Home > Agenda/Regs > Agency EO Review > EO Package'. A form at the top contains fields for 'RIN: Stage of Rulemaking: Title:', 'Agency/Sub Agency: Submitted By:', and 'Tracking #: Submitted Date:'. Below the form, a green confirmation message states: 'EO Review Package was successfully submitted at 08/12/2013 16:27:41 PM.' The screen also displays sections for 'Unfunded Mandates', 'Major', 'Priority', 'Legal Authority', 'CFR Citation', 'Legal Deadline', and 'Overall Description of Deadline'.

Figure 11.4: EO Review Package Screen with Confirmation of Submission

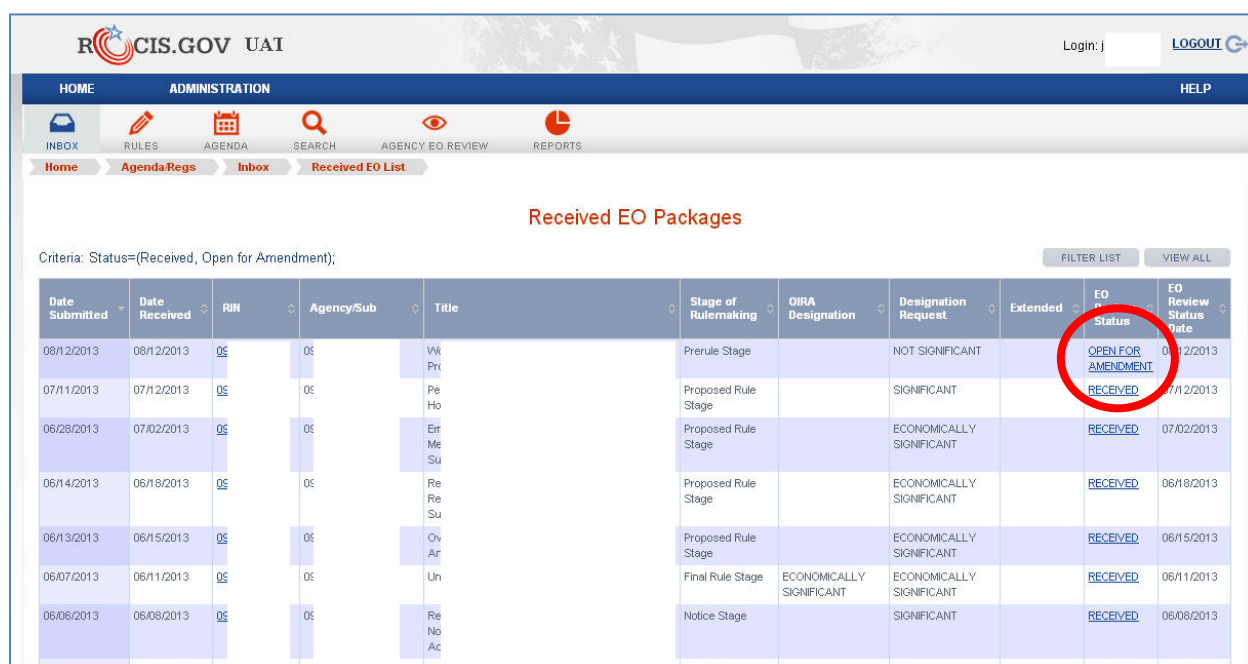
The screenshot shows the 'Submitted EO Packages' list screen in the ROCIS.GOV UAI system. The top navigation bar includes 'HOME', 'ADMINISTRATION', and 'HELP'. Below this is a secondary navigation bar with icons for 'INBOX', 'RULES', 'AGENDA', 'SEARCH', 'AGENCY EO REVIEW', and 'REPORTS'. The main content area has a breadcrumb trail: 'Home > Agenda/Regs > Inbox > Submitted EO List'. A table titled 'Submitted EO Packages' displays a list of submitted packages. The table has columns for 'Date Submitted', 'RIN', 'Agency/Sub', 'Title', 'Stage of Rulemaking', 'OIRA Designation', 'Designation Request', 'EO Review Status', and 'EO Review Status Date'. The table shows two entries: one submitted on 08/12/2013 and another on 07/22/2013. Below the table, a footer indicates 'Showing 1 to 2 of 2 entries' and 'List shows all pending EO review packages (No Time Limit)'.

Date Submitted	RIN	Agency/Sub	Title	Stage of Rulemaking	OIRA Designation	Designation Request	EO Review Status	EO Review Status Date
08/12/2013	00	00	W/c List	Prerule Stage		NOT SIGNIFICANT	SUBMITTED	08/12/2013
07/22/2013	00	00	Per for (Ch	Notice Stage	ECONOMICALLY SIGNIFICANT	SIGNIFICANT	SUBMITTED	07/22/2013

Figure 11.5: Submitted EO Packages List

12. THE REVIEW PROCESS AND OPEN FOR AMENDMENT

When the EO Package is submitted, the ROCIS system saves the agency submission (EO REG Review data and documents), and that submission record is never altered. Instead, at the same time, the system makes an exact copy of the submission and provides it to OIRA. While the EO Package is under review, OIRA may request that the agency make changes to the submission. These changes will be made to the OIRA copy of the record. In order for the agency to make changes to the OIRA version of the package, an OIRA desk officer must open the record for amendment. Such an action on the part of OIRA will show as a change of status in the 'Received' list for the agency. The status will be changed to 'Open for Amendment'. Once a package has this status, the agency can operate on the submission by clicking on the status.



Criteria: Status=(Received, Open for Amendment);

Date Submitted	Date Received	RIN	Agency/Sub	Title	Stage of Rulemaking	OIRA Designation	Designation Request	Extended	EO Status	EO Review Status Date
08/12/2013	08/12/2013	05	05	Vk Pri	Prerule Stage		NOT SIGNIFICANT		OPEN FOR AMENDMENT RECEIVED	08/12/2013
07/11/2013	07/12/2013	05	05	Pe Ho	Proposed Rule Stage		SIGNIFICANT		RECEIVED	07/12/2013
06/28/2013	07/02/2013	05	05	En Me Su	Proposed Rule Stage		ECONOMICALLY SIGNIFICANT		RECEIVED	07/02/2013
06/14/2013	06/18/2013	05	05	Re Re Su	Proposed Rule Stage		ECONOMICALLY SIGNIFICANT		RECEIVED	06/18/2013
06/13/2013	06/15/2013	05	05	Ov Ar	Proposed Rule Stage		ECONOMICALLY SIGNIFICANT		RECEIVED	06/15/2013
06/07/2013	06/11/2013	05	05	Un	Final Rule Stage	ECONOMICALLY SIGNIFICANT	ECONOMICALLY SIGNIFICANT		RECEIVED	06/11/2013
06/06/2013	06/08/2013	05	05	Re No Ac	Notice Stage		SIGNIFICANT		RECEIVED	06/08/2013
06/06/2013	06/08/2013	05	05	Re No Ac	Notice Stage		SIGNIFICANT		RECEIVED	06/08/2013

Figure 12.1: Received EO Packages List with Open for Amendment

The OIRA desk officer will have advised what is to be changed for the submission. Normally, this will entail adding a new version of the primary document. To upload a new version of the document, go to the 'Manage Documents' screen and click the 'Upload New Version' button.

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Manage Documents 0!

Primary Document Versions:

Document	Version	Date Uploaded	Uploaded By
test1.doc	1.0	07/13/2015	Jt

No file chosen

Regulatory Impact Analysis Document Versions:

Document	Version	Date Uploaded	Uploaded By
test1.doc	1.0	07/13/2015	Jt

No file chosen

Supplementary Documents

Title	Document	Date Uploaded	Uploaded By	Document Type
Test1	test12.doc	07/13/2015	Jt	

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Figure 12.2: Manage Document Screen with Upload New Version Button

The upload of the new version of the primary document will be done exactly as was done for the primary document before. Browse the desktop to locate the file, open it, and then hit the 'upload' button. Follow the same steps to upload a new version of the Regulatory Impact Analysis document, as required.

The new version will NOT overwrite the existing document, as occurred when the package was in a 'create' state. Instead, a new version of the document will be added to the submission.

ROCIS How-To Guide for Agency Users of the Privacy Module Regulatory Information Service Center (RISC)

The screenshot shows the ROCIS.GOV UAT interface. The top navigation bar includes links for HOME, AGENDA/REGS, ADMINISTRATION, and HELP. Below this is a sub-navigation bar with INBOX, RULES, AGENDA, SEARCH, AGENCY EO REVIEW, and REPORTS. The main content area is titled 'Manage Documents 0906-AA44'. It features a table for 'Primary Document Versions' with two rows: 'test3.doc' (Version 2.0) and 'test1.doc' (Version 1.0), both uploaded on 07/13/2015 by 'Ji'. A red circle highlights these two rows. Below the table is a 'Choose File' button and an 'UPLOAD NEW VERSION' button. There is also a section for 'Regulatory Impact Analysis Document Versions' with a table showing 'test1.doc' (Version 1.0) uploaded on 07/13/2015 by 'Ji', followed by a 'Choose File' button and an 'UPLOAD NEW RIA VERSION' button. At the bottom, there is a 'Supplementary Documents' section with a table showing 'Test1' (Document 'test12.doc') uploaded on 07/13/2015 by 'Ji', followed by 'UPLOAD SUPPLEMENTARY' and 'ADD NON-ELECTRONIC' buttons. The footer contains the text 'Copyright 2012 GSA. All rights reserved. Build 1.1.0 released.'

Figure 12.3: Manage Document Screen with Two Versions of Primary Document

Once the new version has been uploaded, return to the EO Package screen, and scroll to the bottom. There is now a new button displayed 'Submit Amendment'. Click it to submit the amendment. Notify the OIRA desk officer that the package has been amended.

ROCIS How-To Guide for Agency Users of the Privacy Module Regulatory Information Service Center (RISC)

Agency has prepared or plans to prepare Statement of Energy Effects:

Yes

Designation Status

Agency Tracking Number: 2018-31 EO Stage Of Rulemaking: Notice Stage

OIRA Designation: Designation Request: SIGNIFICANT

Is this action related to the Tax Cuts and Jobs Act [Pub. L. 115-97]¹? No
1. Formally known as "An Act to provide for reconciliation pursuant to titles II and V of the concurrent resolution on the budget for fiscal year 2018."

Is this action related to the Pandemic Response? No

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

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

Does this rule require, authorize, or affect the creation, collection, use, processing, storage, maintenance, dissemination, disclosure, or disposal, by any entity, of personally identifiable information (see [OMB Circular No. A-130](#) for an explanation of this term)? No

International Impacts? No

Primary Documents	Date Uploaded	Uploaded By
test.docx	07/28/2021	Ji
A	04/05/2021	Di

Regulatory Impact Analysis Documents	Date Uploaded	Uploaded By
No associated records found		

Paperwork Reduction Act

* Does the rule contain ICRs? ☐ Yes ☒ No

New OMB Control Number Will Be Requested: ☐

Existing OMB Numbers ADD

* Denotes Required Field

SAVE
SUBMIT AMENDMENT
ANCEL

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Figure 12.4: EO Review Package Screen with Submit Amendment Button

The OIRA desk officer may close the package, also. It will again show a status of 'Received' in the received list. Once the status is changed, the modifications made to the OIRA record will no longer be viewable by the agency. When an agency user views the submission, the user will be looking at the original version of the submission, not the modified copy 'belonging' to OIRA. That will be true until the review is concluded by OIRA. Once the review is concluded, the OIRA version of the record will become the displayed version of the review.

14. THE CONCLUSION PROCESS

When OIRA concludes review of the EO REG Review submission, ROCIS will display the submission in the agency's Concluded Inbox for 30 days.

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

- Reviewed without Change—the EO Package was reviewed by OIRA, and no substantive changes were necessary
- Reviewed with Change—the EO Package was reviewed by OIRA and changes were made by the agency to the submission
- Improperly Submitted—OIRA determined that the EO package was not appropriate for OIRA review
- Withdrawn—the submitting Agency asked that the EO package be withdrawn from consideration

The appropriate data on the concluded review will be displayed on the ROCIS public website www.reginfo.gov the day after the review is concluded.

Date Concluded	Concluded Action	RIN	Agency/Sub	Title	Stage of Rulemaking	Designation	Extended	EO Review Status	EO Review Status Date
08/12/2013	Consistent without Change	0	C	W/c the	Prerule Stage	NOT SIGNIFICANT		CONCLUDED	

Showing 1 to 1 of 1 entries

First Previous 1 Next Last

List shows EO review packages that were concluded in the last 30 days.

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Figure 13.1: Concluded EO List Inbox

14. ENTERING THE FR PUBLICATION DATE

Once OIRA approves the review, your Agency can publish the associated rulemaking document(s) in the Federal Register. Users with EORC and/or RRP access can view approved, but not published, EO packages for RINs that have been, or will be, published in the Unified Agenda in the 'Unpublished' list. Select the desired EO package by clicking on the 'Concluded' link in the 'Unpublished' list.

Criteria: Status=(Concluded, Unpublished);

Date Concluded	Concluded Action	RIN	Agency/Sub	Title	Stage of Rulemaking	Designation	Extended	EO Review Status	EO Review Status Date
07/13/2015	Consistent without Change	0	05	N	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT		CONCLUDED	
05/21/2015	Consistent with Change	0	05	M re	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT		CONCLUDED	
05/01/2015	Consistent with Change	0	05	C	Interim Final Rule Stage	SIGNIFICANT		CONCLUDED	
04/29/2015	Consistent with Change	0	05	F	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT		CONCLUDED	
04/27/2015	Consistent with Change	0	05	O	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT	✓	CONCLUDED	
04/23/2015	Consistent with Change	0	05	F U	Proposed Rule Stage	SIGNIFICANT		CONCLUDED	
04/02/2015	Consistent with Change	0	05	R R	Proposed Rule Stage	SIGNIFICANT	✓	CONCLUDED	
08/29/2014	Consistent with Change	0	05	C	Proposed Rule Stage	SIGNIFICANT	✓	CONCLUDED	
03/07/2011	Consistent with Change	0	05	Al Pi	Proposed Rule Stage	SIGNIFICANT	✓	CONCLUDED	03/07/2011
01/27/2011	Consistent with Change	0	05	Pl Pi O	Notice Stage	SIGNIFICANT		CONCLUDED	01/27/2011

Showing 1 to 10 of 284 entries

List shows all EO review packages that are concluded and unpublished (No Time Limit).

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Figure 14.1: Unpublished EO List Inbox

Once the EO package has been opened, select the 'Publish EO' option from the Agency EO Review menu.

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The screenshot displays the ROCIS.GOV UAI web application. The top navigation bar includes 'HOME', 'AGENDA/REGS', 'ADMINISTRATION', and 'HELP'. Below this, a secondary navigation bar features 'INBOX', 'RULES', 'AGENDA', 'SEARCH', 'AGENCY EO REVIEW', and 'REPORTS'. The 'AGENCY EO REVIEW' menu is expanded, showing options: 'EO Package', 'Contact', 'Manage Documents', 'Economic Data', 'History', and 'Publish EO'. The 'Publish EO' option is circled in red. The main content area shows a form for 'Agency EO Review' with fields for 'RIN:', 'Stage of Rulemaking:', 'Title:', 'Agency/Sub Agency:', 'Submitted By:', 'OMB Ref #:', and 'Submitted Date:'. The 'Publish EO' button is located at the bottom of the form.

ROCIS.GOV UAI Login: j LOGOUT

HOME AGENDA/REGS ADMINISTRATION HELP

INBOX RULES AGENDA SEARCH AGENCY EO REVIEW REPORTS

Home Agenda/Regs Agency EO Review

RIN: Q
Stage of Rulemaking: P
Title: N

Agency/Sub Agency: O
Submitted By: A

OMB Ref #: O
Submitted Date: O

EO Package
Contact
Manage Documents
Economic Data
History
Publish EO

Review Package O

Unfunded Mandates
Undetermined

Major
Undetermined

Priority
Economically Significant

Legal Authority
42 U.S.C. 1

CFR Citation
Not Yet Determined

Legal Deadline

Figure 14.2: 'Publish EO' Option in Agency EO Review Menu

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On the next screen, enter the FR publication date and click the 'Save Publication Date' button.

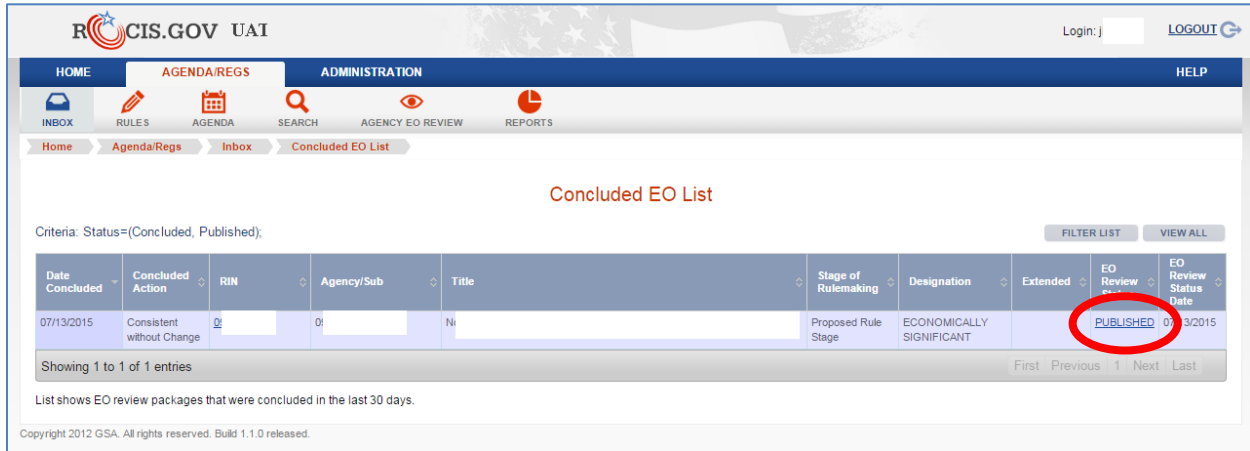
The screenshot shows the 'EO Review Package 0945-AA02' screen. At the top, there is a navigation bar with 'HOME', 'AGENDA/REGS', 'ADMINISTRATION', and 'HELP'. Below this is a sub-navigation bar with 'Home', 'Agenda/Regs', 'Agency EO Review', and 'Publish EO'. The main content area displays various fields for the review package, including 'RIN', 'Stage of Rulemaking', 'Title', 'Agency/Sub Agency', 'Submitted By', 'OMB Ref #', and 'Submitted Date'. The 'Date Published' field is circled in red. Below the main content area, there is a 'Sign-Off History' table with columns for Name, Action Date, Action, and Notes (Conclusion Data). The 'SAVE PUBLICATION DATE' button is circled in red.

Name	Action Date	Action	Notes (Conclusion Data)
Ji	07/13/2015	Concluded	

Figure 14.3: EO Review Package Screen for Concluded Review

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After the FR publication date has been saved, the EO package appears in the Concluded Request List with a status of 'Published'.



The screenshot displays the ROCIS.gov user interface. At the top, there's a header with the ROCIS.GOV logo, 'UAI', a login field, and a 'LOGOUT' link. Below this is a navigation bar with tabs for 'HOME', 'AGENDA/REGS', 'ADMINISTRATION', and 'HELP'. Under 'AGENDA/REGS', there are sub-tabs for 'INBOX', 'RULES', 'AGENDA', 'SEARCH', 'AGENCY EO REVIEW', and 'REPORTS'. The 'AGENCY EO REVIEW' sub-tab is active, leading to the 'Concluded EO List' page. The page title is 'Concluded EO List'. Below the title, it says 'Criteria: Status=(Concluded, Published);'. There are 'FILTER LIST' and 'VIEW ALL' buttons. A table lists the EO review packages. The first entry has a 'Date Concluded' of 07/13/2015, a 'Concluded Action' of 'Consistent without Change', a 'RIN' of 0, an 'Agency/Sub' of 0, a 'Title' of 'N', a 'Stage of Rulemaking' of 'Proposed Rule Stage', a 'Designation' of 'ECONOMICALLY SIGNIFICANT', an 'Extended' status of 'PUBLISHED' (circled in red), an 'EO Review Status' of 'PUBLISHED', and an 'EO Review Date' of 07/13/2015. Below the table, it says 'Showing 1 to 1 of 1 entries' and 'List shows EO review packages that were concluded in the last 30 days.' At the bottom, there's a copyright notice: 'Copyright 2012 GSA. All rights reserved. Build 1.1.0 released.'

Date Concluded	Concluded Action	RIN	Agency/Sub	Title	Stage of Rulemaking	Designation	Extended	EO Review Status	EO Review Date
07/13/2015	Consistent without Change	0	0	N	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT	PUBLISHED	PUBLISHED	07/13/2015

Figure 14.4: Concluded EO List with Published EO Package

APPENDIX A: EO REG REVIEW USER ROLES

There are five agency roles within ROCIS that have privileges associated with the EO Reg Review process within ROCIS:

Regulatory Review Processor (RRP) – This individual can create and update any type of EO REG Review-related request. This user can also update the FR publication date for approved, but not published, EO packages for RINs that have been, or will be, published in the Unified Agenda. To obtain a ROCIS account, he must go through his agency's Regs Privileges Point of Contact (see role description below) and sign a security agreement. He must also attend the EO Regulatory Review course offered by RISC.

Executive Order Regulatory Contact (EORC) – This individual can do everything that a RRP can do. He can also submit a request to OIRA for review of an EO REG Review on behalf of the agency. To obtain a ROCIS account, the EORC must go through the agency's Regs Privileges Point of Contact (see role description below) and sign a security agreement. He is also required to attend the EO Regulatory Review course offered by RISC. **Each agency must have at least one of these.**

Authorized Regulatory Contact (ARC) – An individual with this role can update EO Reg review packages. This user can also update the FR publication date for approved, but not published, EO packages for RINs that have been, or will be, published in the Unified Agenda. This role also gives the user access to the agenda module of ROCIS.

Regulatory Data Entry Contact (RDEC) – This role allows a user to create and edit an EO Reg Review package. Additionally, it gives the user access to the agenda module of ROCIS.