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

September 8, 2017

Regulatory Information Service Center
(RISC)

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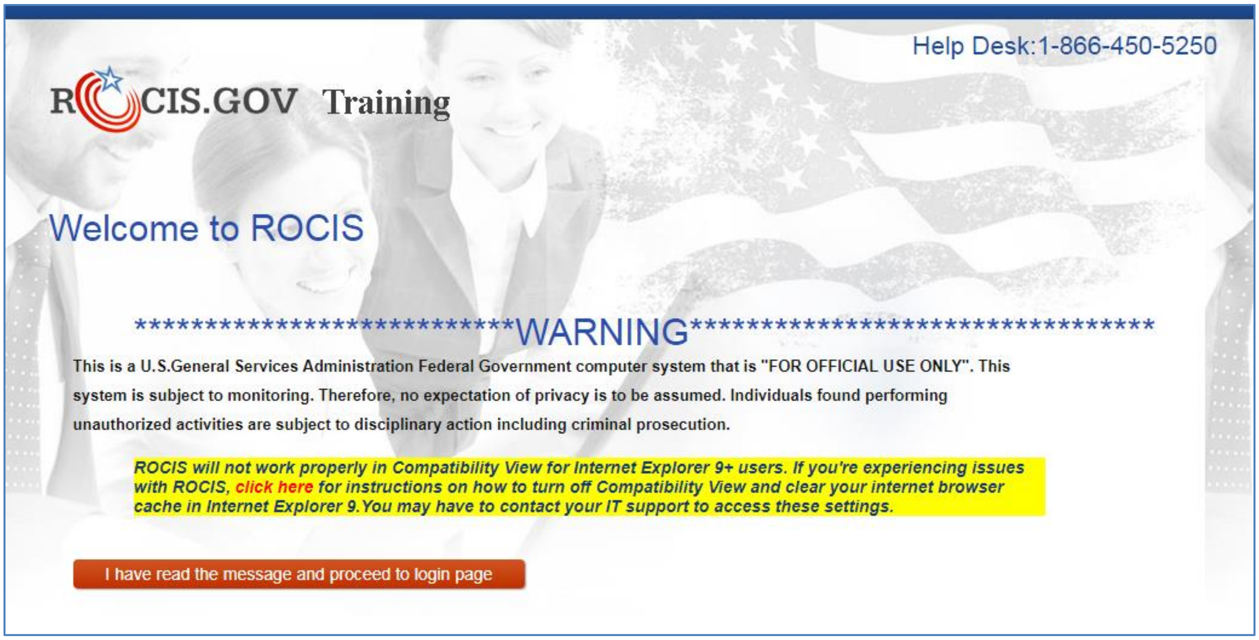
1. HOW TO Log Into ROCIS

If you are logging into the live, production system, please point your browser to [www.rocis.gov.](http://www.rocis.gov)

Read and click the acknowledgement button on the For Official Use Only Warning Screen.



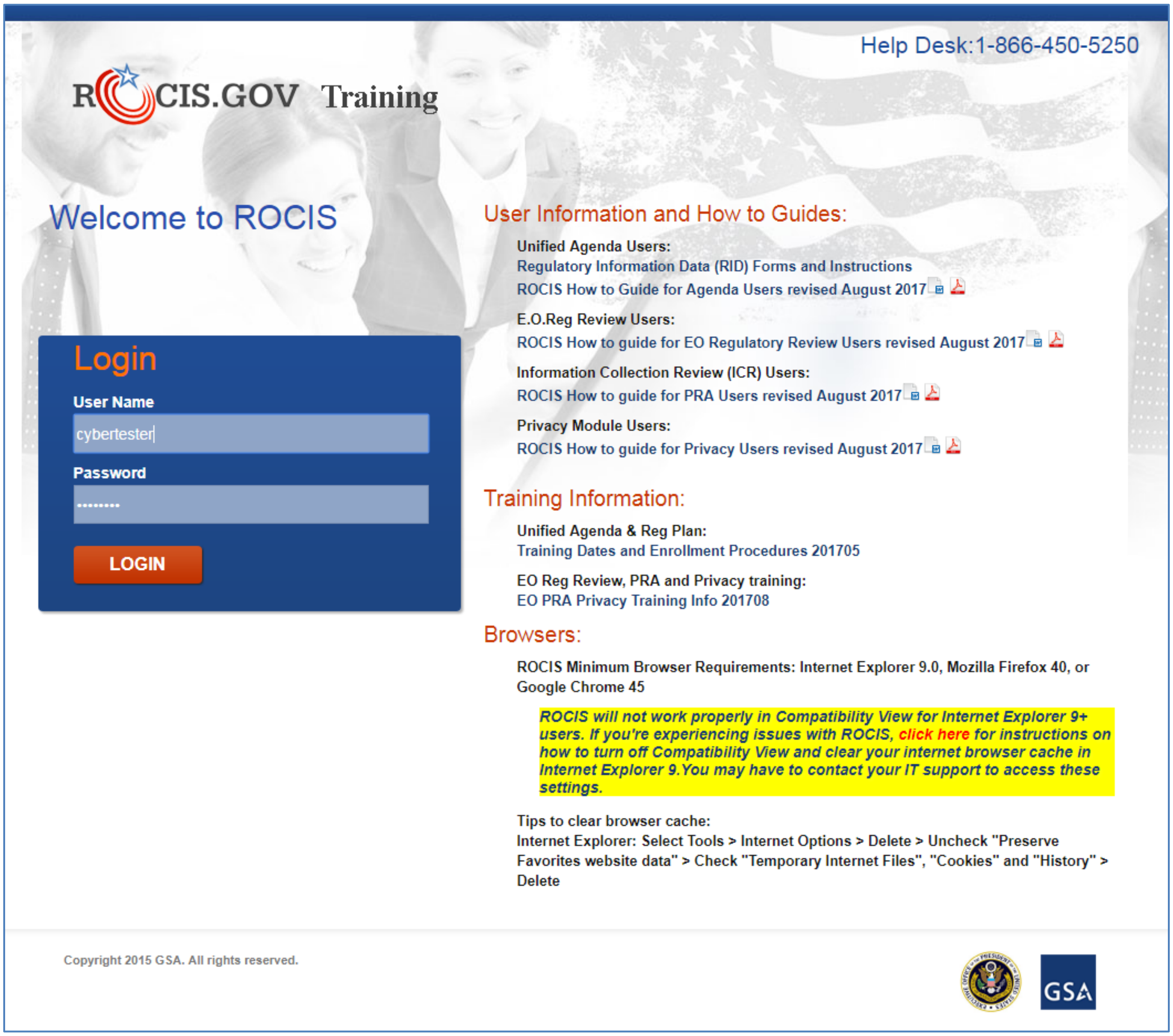
***************************WARNING**********************************

This is a U.S.General Services Administration Federal Government computer system that is "FOR OFFICIAL USE ONLY". This system is subject to monitoring. Therefore, no expectation of privacy is to be assumed. Individuals found performing unauthorized activities are subject to disciplinary action including criminal prosecution.

ROCIS will not work properly in Compatibility View for Internet Explorer 9+ users. If you're experiencing issues with ROCIS, click here for instructions on how to turn off Compatibility View and clear your internet browser cache in Internet Explorer 9.You may have to contact your IT support to access these settings.

Figure 1.1: For Official Use Only Warning Screen

Enter your User ID (normally, your first initial and last name) and password and click the Login button.



User Name: cybertester

Password: ••••••••

User Information and How to Guides:

Unified Agenda Users:
Regulatory Information Data (RID) Forms and Instructions
ROCIS How to Guide for Agenda Users revised August 2017

E.O.Reg Review Users:
ROCIS How to guide for EO Regulatory Review Users revised August 2017

Information Collection Review (ICR) Users:
ROCIS How to guide for PRA Users revised August 2017

Privacy Module Users:
ROCIS How to guide for Privacy Users revised August 2017

Training Information:

Unified Agenda & Reg Plan:
Training Dates and Enrollment Procedures 201705

EO Reg Review, PRA and Privacy training:
EO PRA Privacy Training Info 201708

Browsers:

ROCIS Minimum Browser Requirements: Internet Explorer 9.0, Mozilla Firefox 40, or Google Chrome 45

ROCIS will not work properly in Compatibility View for Internet Explorer 9+ users. If you're experiencing issues with ROCIS, click here for instructions on how to turn off Compatibility View and clear your internet browser cache in Internet Explorer 9.You may have to contact your IT support to access these settings.

Tips to clear browser cache:
Internet Explorer: Select Tools > Internet Options > Delete > Uncheck "Preserve Favorites website data" > Check "Temporary Internet Files", "Cookies" and "History" > Delete

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Figure 1.2: Login Screen

ROCIS requires a second layer of authentication, in addition to your user name and password. After logging in with your user name and password, ROCIS will ask you to enter the MFA token to gain access.

The MFA token is a 6-character code generated at login and emailed to the user's email address in ROCIS. The MFA token must be entered into ROCIS within 10 minutes, starting from when your user name and password were authenticated.

Validated tokens are good for 12-hours. You will only need your user name and password to gain access during the 12-hour period after the MFA token is validated.

Help Desk:1-866-450-5250

ROCIS.GOV Training

ROCIS Multi-Factor Authentication

Please check your email for the system generated MFA Token and enter here. The token will expire in 10 minutes. Before the token expires, you have 5 chances to enter the correct token.

If you have not received the email from ROCIS, please contact RISC management (risc@gsa.gov). If Multi-Factor Authentication fails, you will be re-directed to the ROCIS Login page and try again.

Enter MFA Token

Email: charmwell.ho@cyberdatainc.com

User Name: cybertester

MFA Token

User Information and How to Guides:

Unified Agenda Users:
Regulatory Information Data (RID) Forms and Instructions
ROCIS How to Guide for Agenda Users revised September 2015

E.O.Reg Review Users:
ROCIS How to guide for EO Regulatory Review Users revised August 2013

Information Collection Review (ICR) Users:
ROCIS How to guide for PRA Users revised August 2013

Privacy Module Users:
ROCIS How to guide for Privacy Users revised December 2015

Training Information:

Unified Agenda & Reg Plan:
Training dates and Enrollment procedures

EO Reg Review, PRA and Privacy training:
EO PRA Privacy Training Info 201601

Browsers:

ROCIS Minimum Browser Requirements: Internet Explorer 9.0, Mozilla Firefox 40, or Google Chrome 45

ROCIS will not work properly in Compatibility View for Internet Explorer 9+ users. If you're experiencing issues with ROCIS, click here for instructions on how to turn off Compatibility View and clear your internet browser cache in Internet Explorer 9.You may have to contact your IT support to access these settings.

Tips to clear browser cache:
Internet Explorer: Select Tools > Internet Options > Delete > Uncheck "Preserve Favorites website data" > Check "Temporary Internet Files", "Cookies" and "History" > Delete

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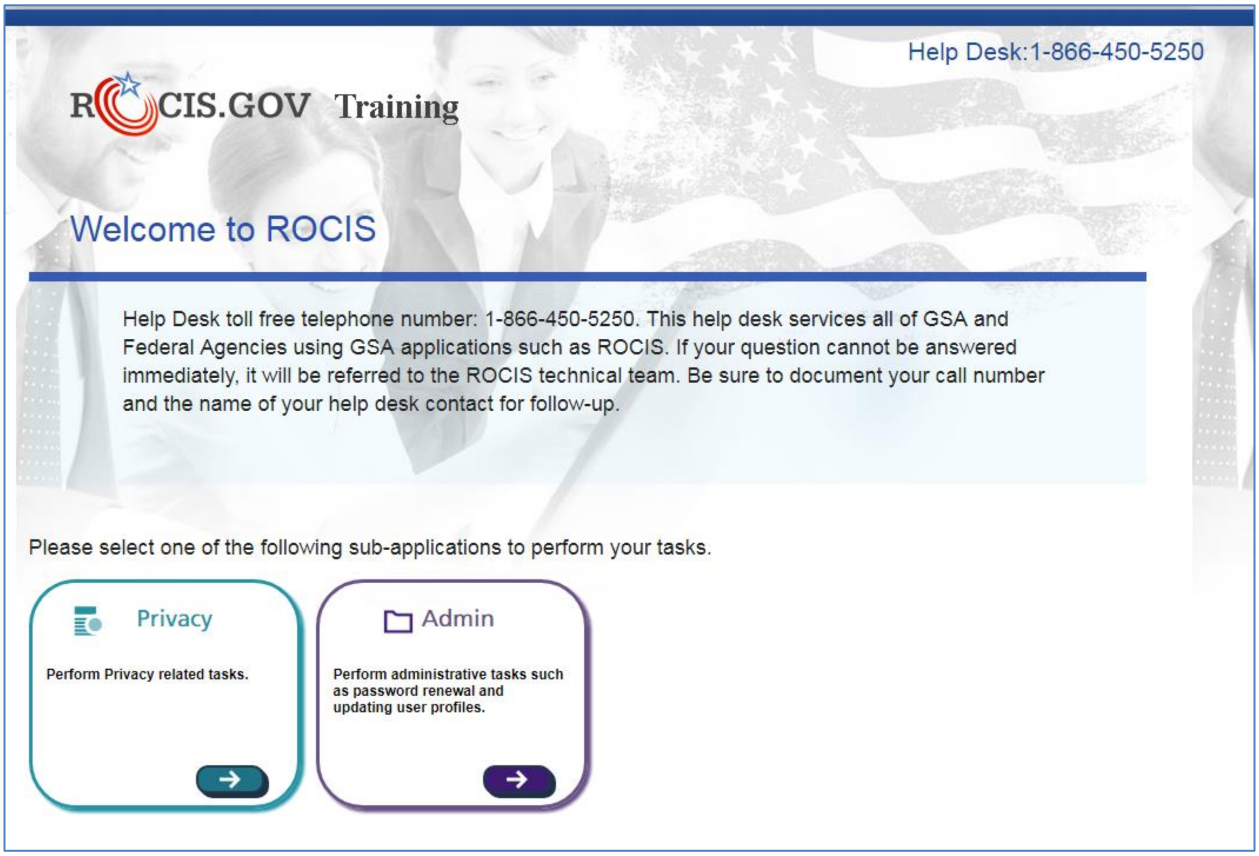
Figure 1.3: Multi-Factor Authentication Screen

Select ‘Privacy’ to use the Privacy module.



Help Desk toll free telephone number: 1-866-450-5250. This help desk services all of GSA and Federal Agencies using GSA applications such as ROCIS. If your question cannot be answered immediately, it will be referred to the ROCIS technical team. Be sure to document your call number and the name of your help desk contact for follow-up.

Please select one of the following sub-applications to perform your tasks.

Figure 1.4: ROCIS Broadcast Message Screen

Your initial screen is the ‘Created Request List’.

Created Request List

Criteria: Status=(Created);

Review ID	Created Date	Created By	Agency/Sub	Title	IT System	Request Type
3170-S201611-006	11/14/2016	Johnson, Robert	CFPB	CFPB.005 Consumer Response System	Consumer Response System	SORN
3170-S201611-004	11/10/2016	Mewhorter, Shawn	CFPB	CFPB.001 Freedom of Information Act/Privacy Act System	Freedom of Information Act/Privacy Act System	SORN
3170-S201611-003	11/10/2016	Mewhorter, Shawn	CFPB	CFPB.001 Freedom of Information Act/Privacy Act System	Freedom of Information Act/Privacy Act System	SORN

Showing 1 to 3 of 3 entries

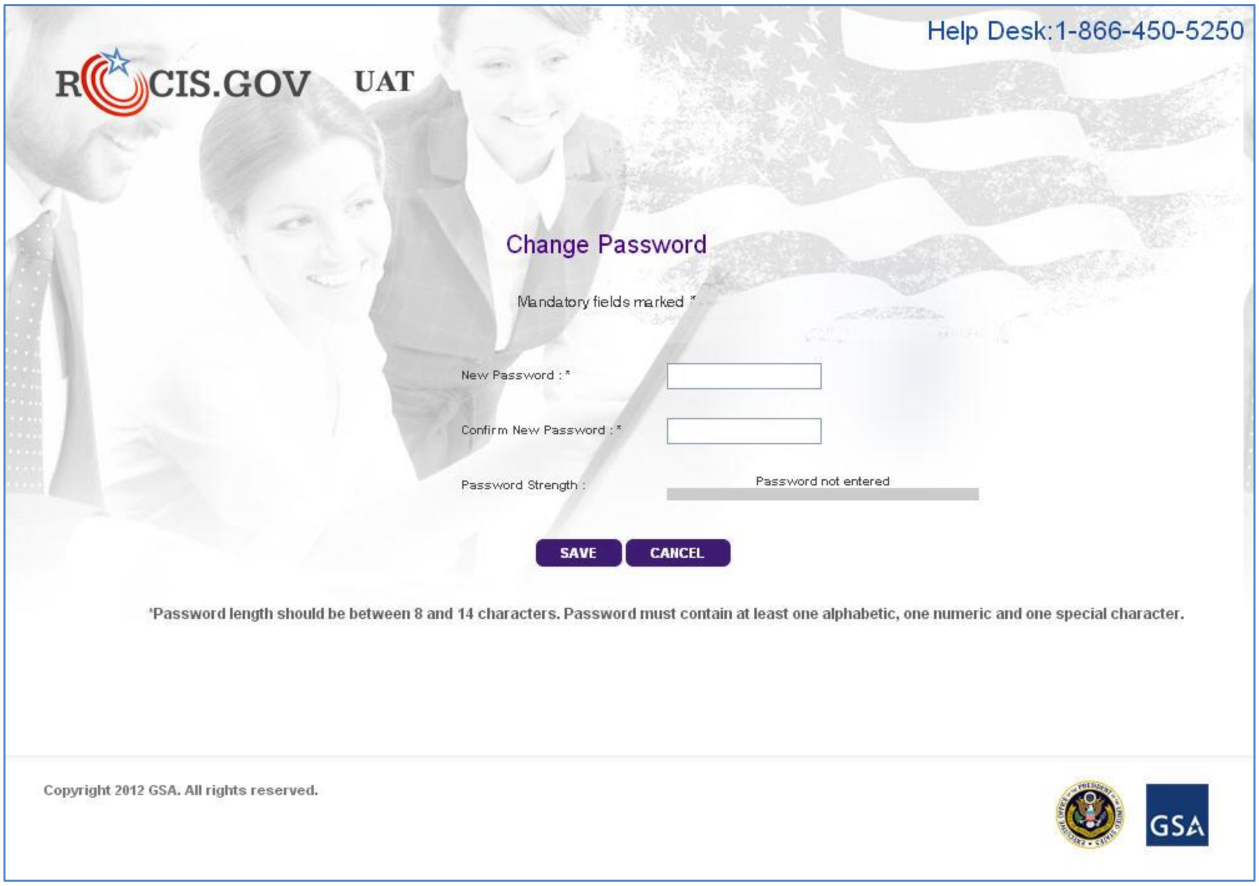
List shows all requests (No Time Limit).

Figure 1.5: Created Request List Screen

You will be able to navigate throughout the Privacy module via tabs which will be discussed in more detail later in this manual.

2. HOW TO Change Your Password

Whenever your password is set to rocis123 or your password has expired, the system will force you to change your password when you log in. On this ‘Change Password’ screen, you will need to enter your new password twice. Be sure that your new password conforms to all of the rules given for password formation. Click the ‘Change Password’ button. You will receive a confirmation message from the system indicating that your password has been changed.

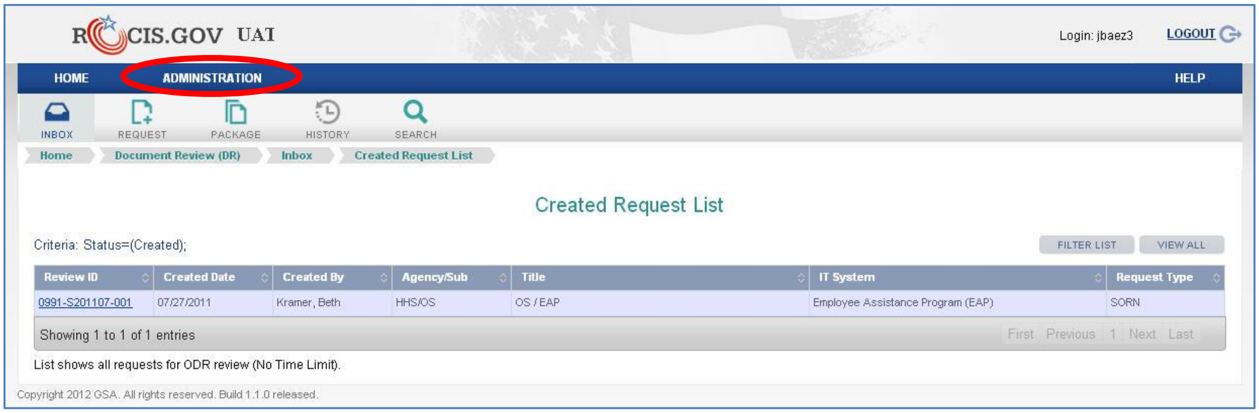


*Password length should be between 8 and 14 characters. Password must contain at least one alphabetic, one numeric and one special character.

Figure 2.1: Change Password Screen for New Account

Your ROCIS password is good for 90 days; then, it will need to be reset. About two weeks before the password expires, ROCIS will give you a warning whenever you log in that your password is expiring in XX days.

To change your password, choose Change Password from the Admin drop down list.



Criteria: Status=(Created);

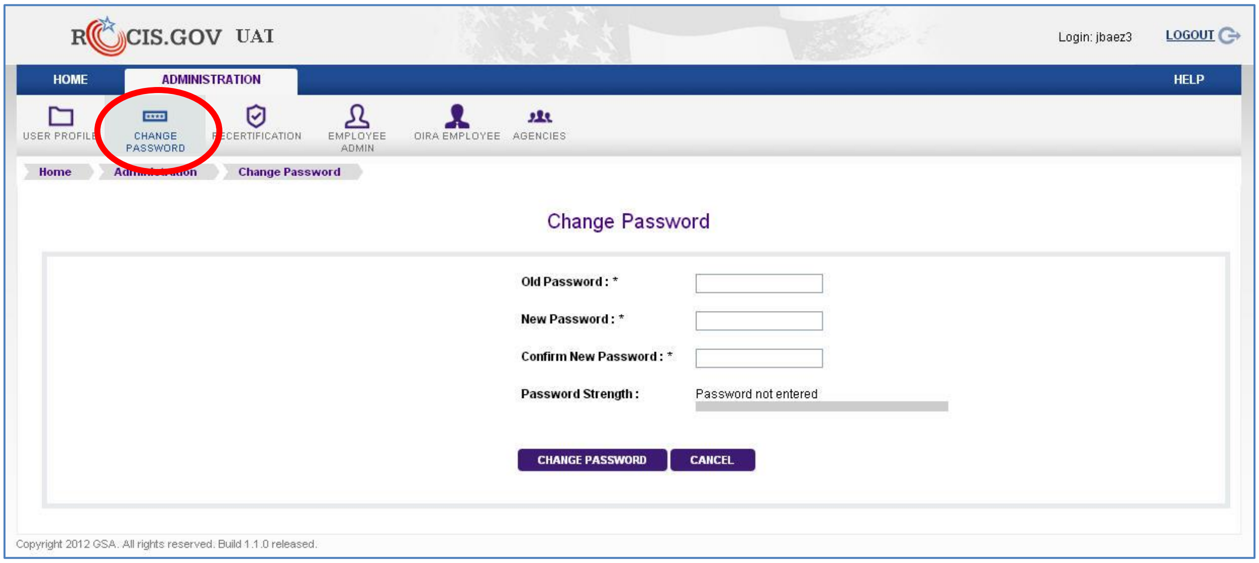
Review ID	Created Date	Created By	Agency/Sub	Title	IT System	Request Type
0991-S201107-001	07/27/2011	Kramer, Beth	HHS/OS	OS / EAP	Employee Assistance Program (EAP)	SORN

Showing 1 to 1 of 1 entries

List shows all requests for ODR review (No Time Limit).

Figure 2.2: Admin Tab on Tab Row Screen

You will need to enter your old password, your new password (must be at least 8 characters, must have one number and one special character—like oira@1234) in both boxes as indicated. Click the ‘Change Password’ button. When you get the confirmation screen, click ‘OK’. Please do not share your password with anyone—this would be a violation of the Security Agreement that you signed and could result in the loss of your access to ROCIS.

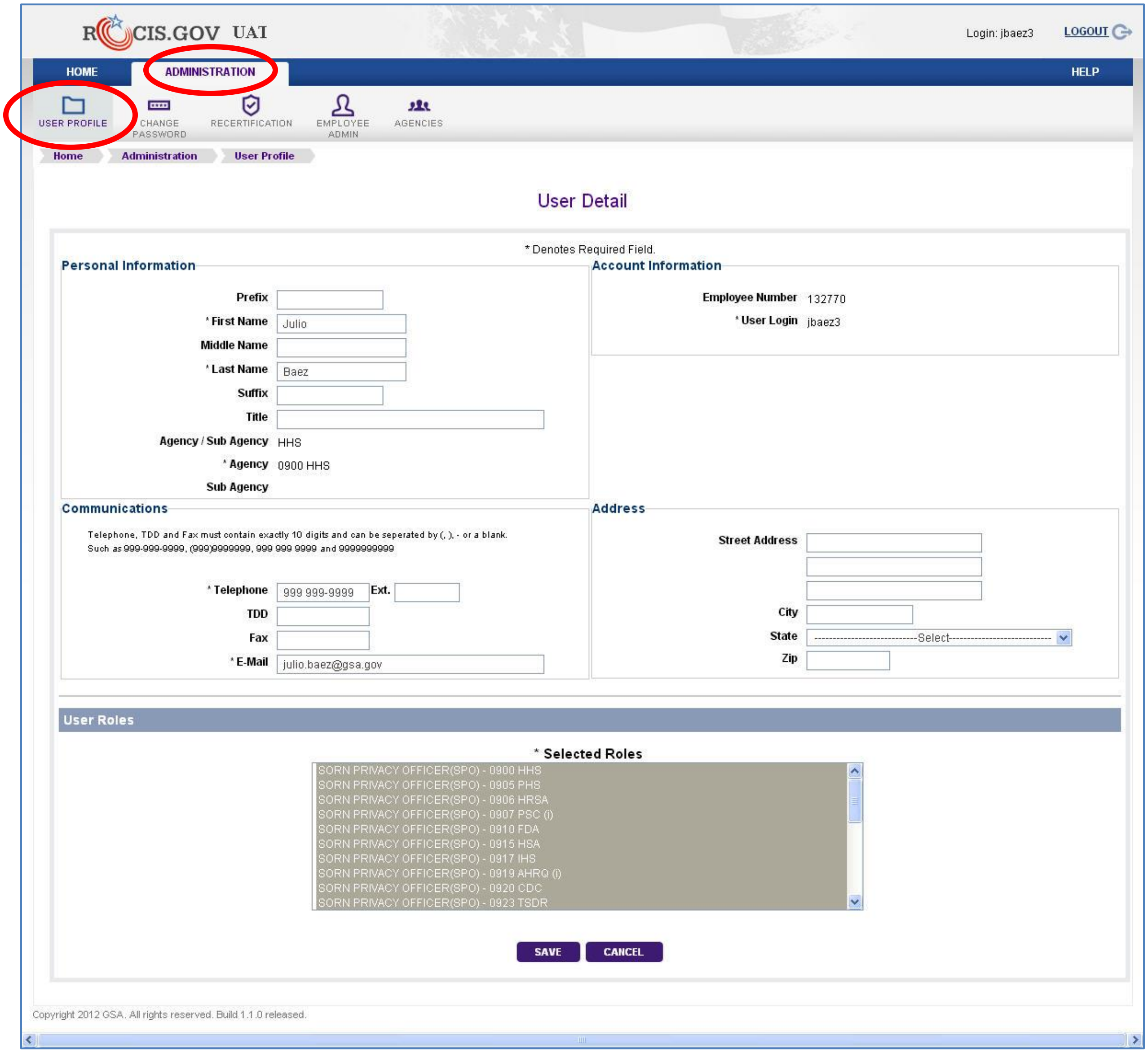


Old Password : *
New Password : *
Confirm New Password : *
Password Strength : Password not entered

Figure 2.3: ‘Change Password’ Tab on User Detail Screen

3. HOW TO Review and Change Your User Profile

Upon successful login, you should arrive at your Inbox. If you are an Agency user, you will arrive in your Created Request List. Take a moment to look at your tabs and sub tabs at the top of the screen. Select User Profile from the Admin drop down on the top line. The User Profile tab provides you a place to view and update your user information.



User Detail

* Denotes Required Field.

Personal Information

Prefix:
* First Name: Julio
Middle Name:
* Last Name: Baez
Suffix:
Title:
Agency / Sub Agency: HHS
* Agency: 0900 HHS
Sub Agency:

Account Information

Employee Number: 132770
* User Login: jbaez3

Communications

Telephone, TDD and Fax must contain exactly 10 digits and can be seperated by (,), - or a blank.
Such as 999-999-9999, (999)9999999, 999 999 9999 and 9999999999

* Telephone: 999 999-9999 Ext.:
TDD:
Fax:
* E-Mail: julio.baez@gsa.gov

Address

Street Address:
City:
State: ----------Select----------
Zip:

User Roles

* Selected Roles

SORN PRIVACY OFFICER(SPO) - 0900 HHS
SORN PRIVACY OFFICER(SPO) - 0905 PHS
SORN PRIVACY OFFICER(SPO) - 0906 HRSA
SORN PRIVACY OFFICER(SPO) - 0907 PSC (I)
SORN PRIVACY OFFICER(SPO) - 0910 FDA
SORN PRIVACY OFFICER(SPO) - 0915 HSA
SORN PRIVACY OFFICER(SPO) - 0917 IHS
SORN PRIVACY OFFICER(SPO) - 0919 AHRQ (I)
SORN PRIVACY OFFICER(SPO) - 0920 CDC
SORN PRIVACY OFFICER(SPO) - 0923 TSDR

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Figure 3.1: Admin Tab to Change User Profile

Upon initial entry, please verify and make appropriate changes to any information, paying particular attention to your telephone number and email. Then, be sure to save your information. The Save button is at the bottom of the screen.

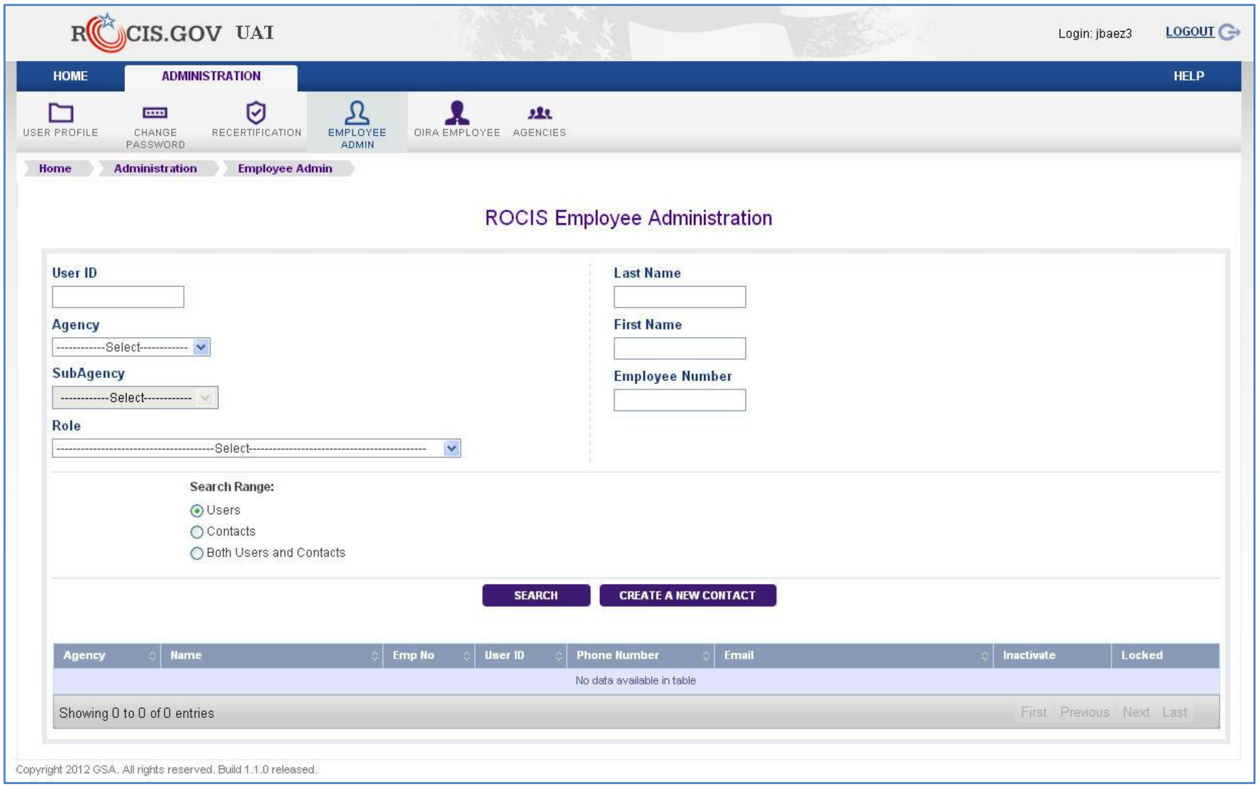
Please be sure to return to the User Profile to modify your personal information, such as your phone number or email address, whenever changes occur.

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

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.

4. HOW TO Use the ROCIS Employee Administration 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 agency's SORN Privacy Officer (SPO) an email, you are able to search on the SPO role for the agency and receive a list of contacts. If a SORN Administrative Contact wants to identify a list of preparers (SORN Preparer or SPs) for his/her agency, this is the screen from which to do the search.



Login: jbaez3

Agency: -----------Select-----------
SubAgency: -----------Select-----------
Role: -----------Select-----------

Search Range:
● Users
○ Contacts
○ Both Users and Contacts

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

Showing 0 to 0 of 0 entries

Figure 4.1: Employee Administration Screen

If you are the SORN Administrative Contact, it is a good idea to periodically check the authorized users for your agency. Simply enter your agency code, select any of the agency SORN roles (see Appendix B for a complete description) from the Role drop down list, and click the 'Search' button. If the resultant list reflects users who have left your agency and still have active accounts, please contact the ROCIS Help Desk at 866-450-5250 so that the accounts can be inactivated and locked.

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

5. HOW TO Use the Inbox and the Home Row of Tabs

When you arrive in the ROCIS Privacy module after successfully logging in, you'll be in the Created Request List Inbox, with a row of additional tabs to choose from. Think of this as the top of the desk in your office where you are working to create, prepare and track SORN requests.

Created Request List

Criteria: Status=(Created);

Review ID	Created Date	Created By	Agency/Sub	Title	IT System	Request Type
2528-S201708-001	08/11/2017	Brooks, Angela	HUD/PD&R	Test		SORN
2501-S201704-001	04/03/2017	Key, Conique	HUD/HUDSEC	Enterprise Data Management	Enterprise Data Management	SORN
2506-M201612-001	12/15/2016	Noble, Janice	HUD/CPD	Computer Matching Agreement between The Department of Housing and Urban Development and The Department of Treasury	Inventory Management System	MA
2500-M201609-001	09/28/2016	Noble, Janice	HUD	Computer Matching Agreement between HUD and SSA	Tenant Rental Assistance Certification System	MA

Showing 1 to 4 of 4 entries

List shows all requests (No Time Limit).

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Figure 5.1: Agency Created Request Inbox

The first tab is for your Inbox. Your Inbox has six components, all of which can be viewed by moving your mouse over the Inbox tab.

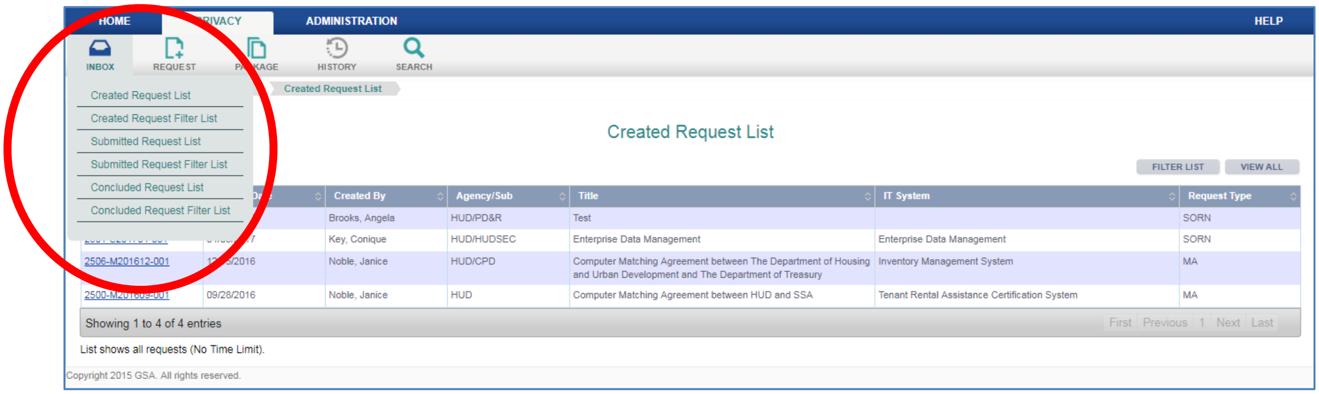


Figure 5.2: Options under Inbox Tab

The six components are:

The Created Request List: The default. This is where you will find all created MA and SORN packages to which you have access. Once a request is created, it will remain in your Created Request list until it is submitted to OIRA or deleted from ROCIS.

The Submitted Request List: This portion of your inbox will list any MA and SORN packages submitted to OIRA. Submitted Requests will be reflected in this list until the request is reviewed by OIRA.

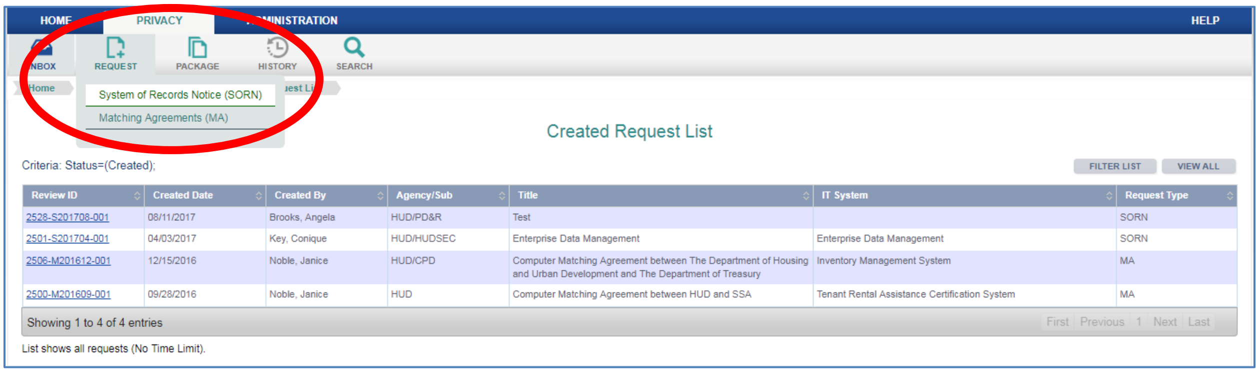
The Concluded Request List: Requests that have been reviewed in the last 30 days are reflected in this list.

Filter Lists: Each of the three sections above has a ‘filter’ option which allows a user to search through the related Inbox section for a specific request or requests. This is extremely useful if any box contains a large number of entries.

Regardless of the portion of the Inbox you are in, you can sort on any column heading to organize your work space. The sort works like a toggle switch. The first time a user clicks on the column heading, the column data is sorted in a default order. Clicking the column heading a second time will result in a reversal of the sort order.

6. HOW TO Create and Edit a SORN Package

When you are ready to create a SORN Package, choose ‘Request’ from the Home Row. You will see a drop down list with two items, ‘System of Records Notice (SORN)’ and ‘Matching Agreements (MA)”. Select the SORN option by highlighting it with your mouse and left-clicking once.



Created Request List

Criteria: Status=(Created);

Review ID	Created Date	Created By	Agency/Sub	Title	IT System	Request Type
2528-S201708-001	08/11/2017	Brooks, Angela	HUD/PD&R	Test		SORN
2501-S201704-001	04/03/2017	Key, Conique	HUD/HUDSEC	Enterprise Data Management	Enterprise Data Management	SORN
2506-M201612-001	12/15/2016	Noble, Janice	HUD/CPD	Computer Matching Agreement between The Department of Housing and Urban Development and The Department of Treasury	Inventory Management System	MA
2500-M201609-001	09/28/2016	Noble, Janice	HUD	Computer Matching Agreement between HUD and SSA	Tenant Rental Assistance Certification System	MA

Showing 1 to 4 of 4 entries

List shows all requests (No Time Limit).

Figure 6.1: Create New SORN Package Selection Screen

You will be presented with a new screen, showing two ways to create a SORN package. The first option is used when creating a new SORN package with no SORN related Review ID.

The second option is used when creating a new SORN package related to a previously reviewed SORN that has already been reviewed by OIRA through the ROCIS system and published in the Federal Register. The OIRA conclusion action must be either ‘Reviewed with Change’ or ‘Reviewed without Change’—it cannot be ‘Improperly Submitted’ or ‘Withdrawn’. When choosing this option, a new SORN request will be created for the same agency/subagency as the related SORN, and many data items from the related SORN request will be copied into the new request.

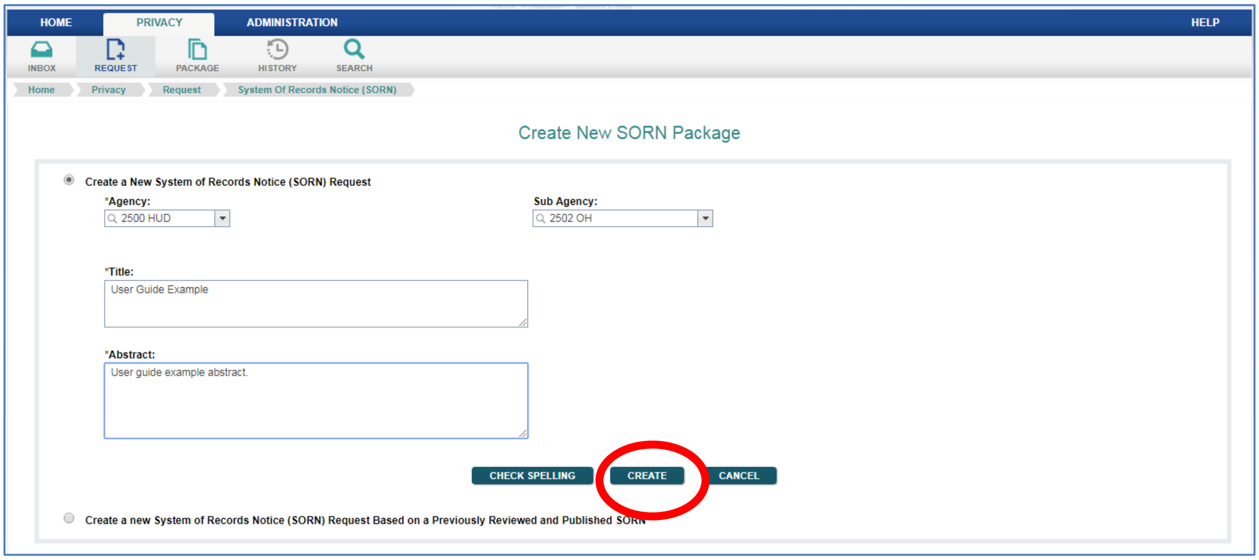
To discuss all of the data items for a SORN request, the first option will be selected for this example.

After choosing to create a new SORN package, the screen below will be displayed. Users must select an agency, a subagency if appropriate, and enter a title and abstract.

Whenever ROCIS supplies a drop down list of values from which to choose, there is a small arrow at the end of the input box. For agency and subagency, ROCIS will display the values that the user is authorized to access.

Matching sets of upward and downward pointing arrows indicate that the input box allows scrolling. So, for example, if the abstract entered is greater than can be displayed in the box, the user can scroll up or down through the text.

Notice the three buttons underneath the Abstract text area. A user can check spelling of text items using the ‘Check Spelling’ button, save the data entered to date and create a new SORN request with the ‘Create’ button, or erase unsaved data with the ‘Cancel’ button.



Create New SORN Package

● Create a New System of Records Notice (SORN) Request

*Agency: 2500 HUD

Sub Agency: 2502 OH

*Title: User Guide Example

*Abstract: User guide example abstract.

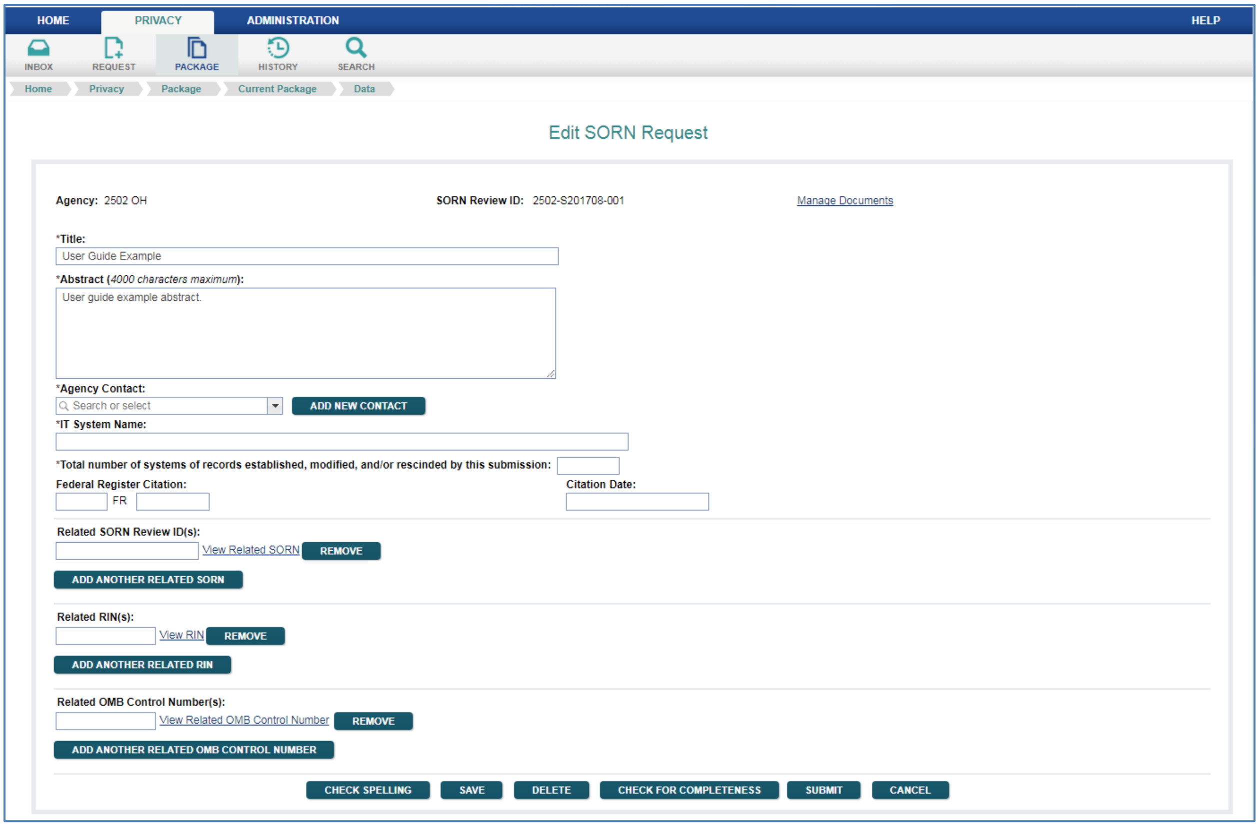
○ Create a new System of Records Notice (SORN) Request Based on a Previously Reviewed and Published SORN

Figure 6.2 Create New SORN Package Data Entry Screen

After the request has been successfully created, the user is transferred to the ‘Edit SORN Request’ screen. The agency or subagency number and acronym are displayed, as well as the unique SORN Review ID automatically assigned by ROCIS to this particular request. These items may not be changed.

Also at the top of the screen is a link to the ‘Manage Documents’ portion of the SORN process. That will be discussed under the ‘Upload Documents’ topic in the manual.

All data items marked with an asterisk are required before a request can be submitted to OIRA. If the item does not have an asterisk, it is optional.



Edit SORN Request

Agency: 2502 OH

SORN Review ID: 2502-S201708-001

Manage Documents

*Title: User Guide Example

*Abstract (*4000 characters maximum*): User guide example abstract.

*Agency Contact: Search or select

*IT System Name:

*Total number of systems of records established, modified, and/or rescinded by this submission:

Federal Register Citation: FR

Citation Date:

Related SORN Review ID(s): View Related SORN

Related RIN(s): View RIN

Related OMB Control Number(s): View Related OMB Control Number

Figure 6.3: Edit SORN Screen

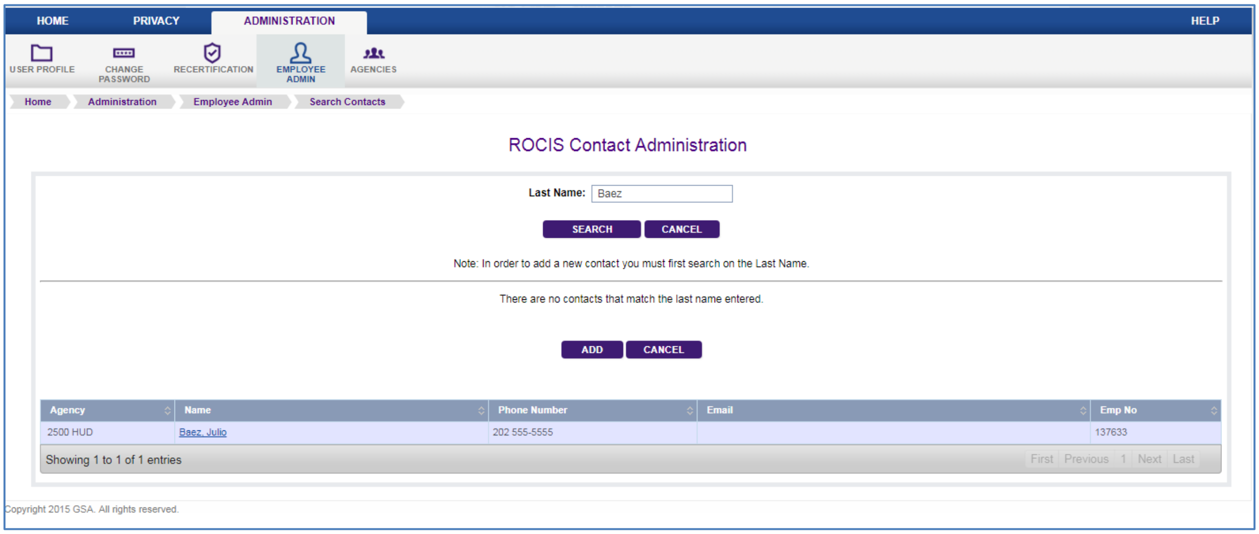
Title and Abstract are required data items. They may be changed on this screen.

Agency Contact is required: This should be the individual that the OIRA desk officer can contact with any questions about the SORN request. If the user clicks on the arrow at the end of the input box, ROCIS will display a list of others from the organization that have been identified as contacts in ROCIS previously. If the name of the appropriate individual appears in the list, simply highlight the name, and ROCIS will select that person. If the name of the individual is not in the list, the user can create a new contact by selecting the ‘Add New Contact’ button.

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

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



ROCIS Contact Administration

Last Name: Baez

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

There are no contacts that match the last name entered.

Agency	Name	Phone Number	Email	Emp No
2500 HUD	Baez, Julio	202 555-5555		137633

Showing 1 to 1 of 1 entries

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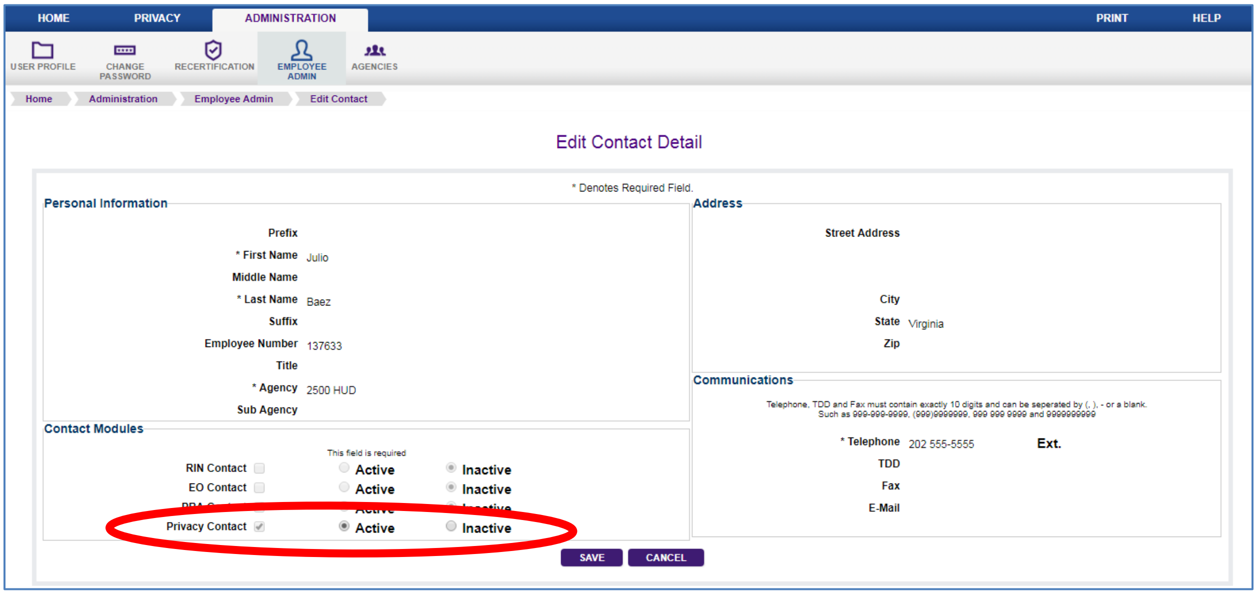
Figure 6.4: Contact Administration Screen

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 check next to ‘RIN Contact’. The check and active status are not highlighted because your role does not allow you to change agenda contacts. However, you can make Julio a contact for the Privacy module by clicking on the box next to ‘Privacy Contact’.



Edit Contact Detail

* Denotes Required Field.

Personal Information

Prefix
* First Name Julio
Middle Name
* Last Name Baez
Suffix
Employee Number 137633
Title
* Agency 2500 HUD
Sub Agency

Address

Street Address
City
State Virginia
Zip

Communications

Telephone, TDD and Fax must contain exactly 10 digits and can be seperated by (,), - or a blank. Such as 999-999-9999, (999)9999999, 999 999 9999 and 9999999999

* Telephone 202 555-5555 Ext.
TDD
Fax
E-Mail

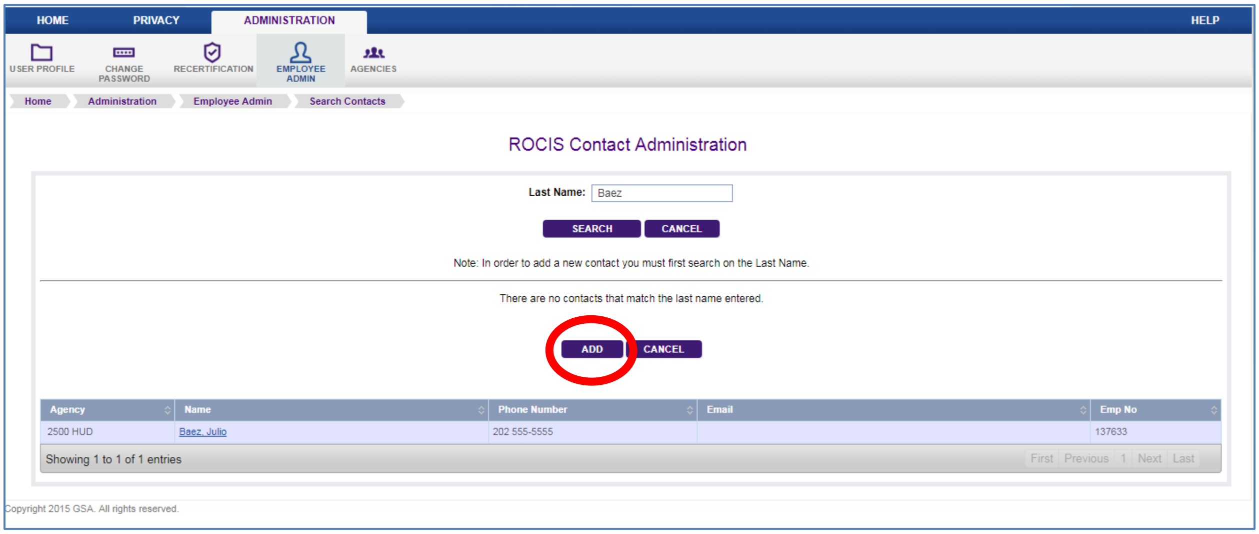
Contact Modules

This field is required

RIN Contact ☐ ○ Active ● Inactive
EO Contact ☐ ○ Active ● Inactive
Privacy Contact ☑ ● Active ○ Inactive

Figure 6.5: Contact Detail Screen

Scroll down to the bottom of the screen and click on the ‘Save’ button to effect the change. After the information is saved, you will be returned to the Edit SORN Request screen.



ROCIS Contact Administration

Last Name: Baez

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

There are no contacts that match the last name entered.

Agency	Name	Phone Number	Email	Emp No
2500 HUD	Baez, Julio	202 555-5555		137633

Showing 1 to 1 of 1 entries

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Figure 6.6: Contact Administration Screen (continued)

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 subagency 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 subagencies. If the contact is associated with the agency code, he will appear in the drop down list for any subagencies that are part of that agency. If he is associated with a subagency, he will only appear in the drop down list for that subagency.

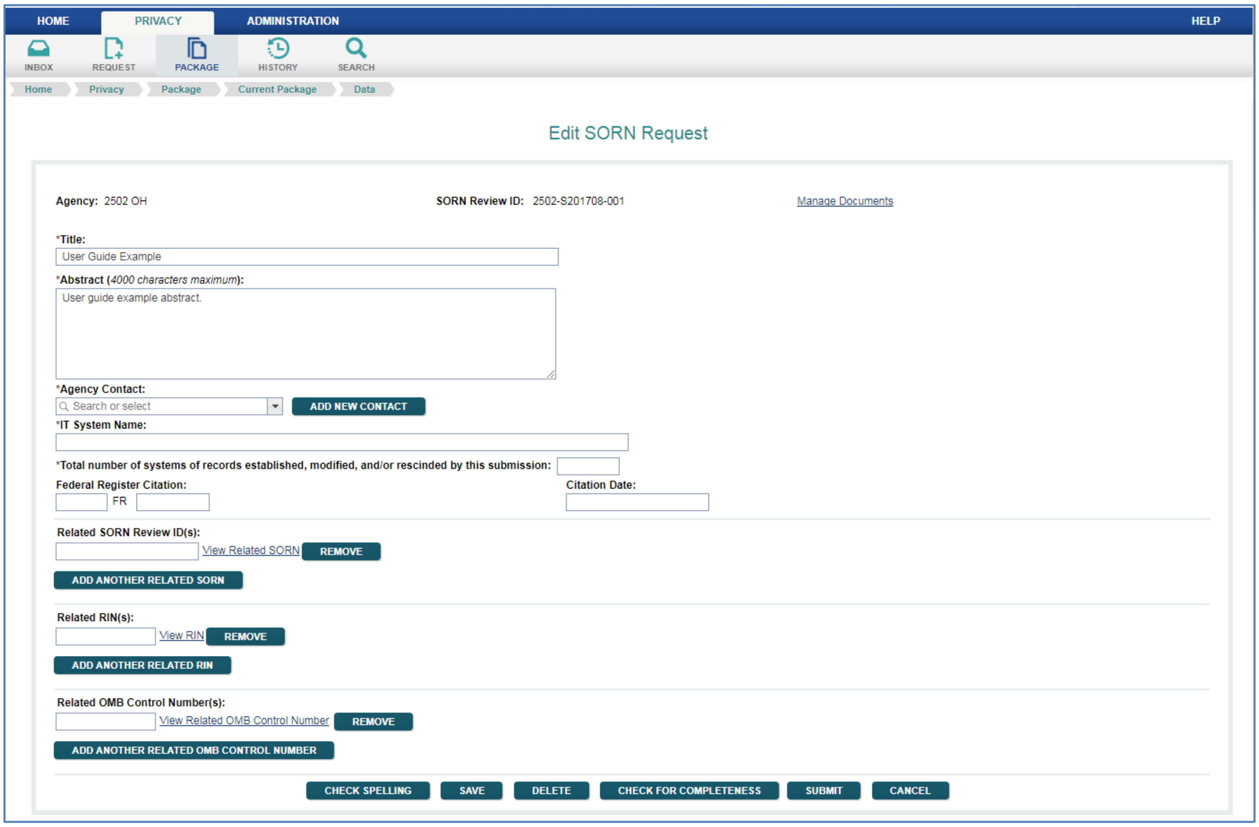
In this example, the user has access to both ‘0500’, the agency code for Department of Commerce, and the subagency ‘0506’, the USDA Office of Communications, so both numbers on listed in the drop down list. If the user selects ‘0500’ as Charles’ (the new contact), agency, Charles Williams will appear as a Privacy contact for any subagency within Commerce. If he is associated with 0607, she will only be a contact for Census. If someone were to create a Privacy package for subagency 0605, Charles would not appear in the list. If Charles was supposed to be a contact for 0605, another contact record would have to be added showing her agency as ‘0605’. If Charles should be a contact for all subagencies within Commerce, but you don’t have access to ‘0600’, please 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 User’ at the bottom of the screen. The new contact will be saved, and you will be returned to the ‘Edit SORN Request’ screen. All of the contacts that you have selected will be displayed. You can manipulate the order of the contacts by changing the number to the right of the contact information. You can also remove a contact by clicking on ‘remove’.

IT System Name: This item is required. Please enter the name of the system to which this SORN applies.

Total number of systems of records established, modified, and/or rescinded by this submission: This item is required.

The remaining data items on this screen are optional.



Agency: 2502 OH
SORN Review ID: 2502-S201708-001

*Title: User Guide Example

*Abstract (*4000 characters maximum*): User guide example abstract.

*Agency Contact:

*IT System Name:

*Total number of systems of records established, modified, and/or rescinded by this submission:

Federal Register Citation: FR

Citation Date:

Related SORN Review ID(s):

Related RIN(s):

Related OMB Control Number(s):

Figure 6.7: Edit SORN Request Screen

Federal Register Citation and Citation date indicate when the SORN in question was published in the Federal Register. If the request is submitted to OIRA at the same time that the notice is sent to the Federal Register, this data will not be available until after the review is concluded. A valid citation contains a volume number, a page number, and the publication date in the format MM/DD/YYYY. ROCIS does not accept partial FR citation information. All three data items must be entered at the same time. Given a valid citation date, the associated FR volume would be YYYY – 1935. ROCIS will not accept a citation date earlier than 1950.

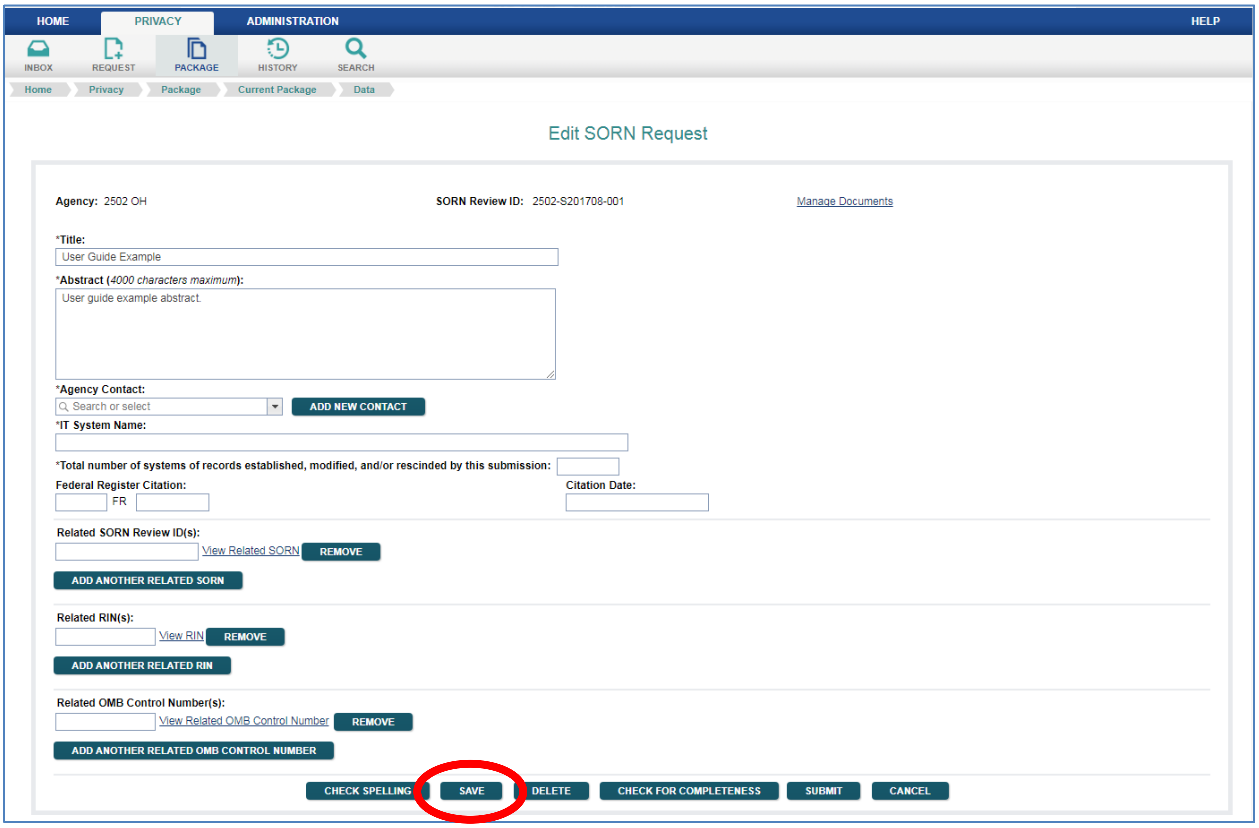
Related SORN Review ID: Optional field which contains a SORN Review ID for a request that was previously reviewed by OIRA and has a publication date indicating that it has appeared in the Federal Register. A SORN request can only be related to another SORN review if they are for the same agency or subagency.

Related RIN(s): Optional field to indicate that this request is related to a rulemaking that has been entered into the Unified Agenda and assigned a Regulatory Identification Number (RIN) A Related RIN can be any valid RIN, regardless of Agency.

Related OMB Control Number(s): Optional field to indicate that this request is related to a submission under the Paperwork Reduction Act that has been assigned a valid OMB Control

Number. A Related OMB Control Number can be any valid OMB Control Number, regardless of Agency.

At this point, all of your data should be saved by selecting the ‘Save’ Button. (Data can be saved at any time during the editing process). You will then be ready to add the necessary documents to your request.



Edit SORN Request

Agency: 2502 OH
SORN Review ID: 2502-S201708-001
Manage Documents

*Title: User Guide Example

*Abstract (*4000 characters maximum*): User guide example abstract.

*Agency Contact: Search or select

*IT System Name:

*Total number of systems of records established, modified, and/or rescinded by this submission:

Federal Register Citation: FR

Citation Date:

Related SORN Review ID(s):

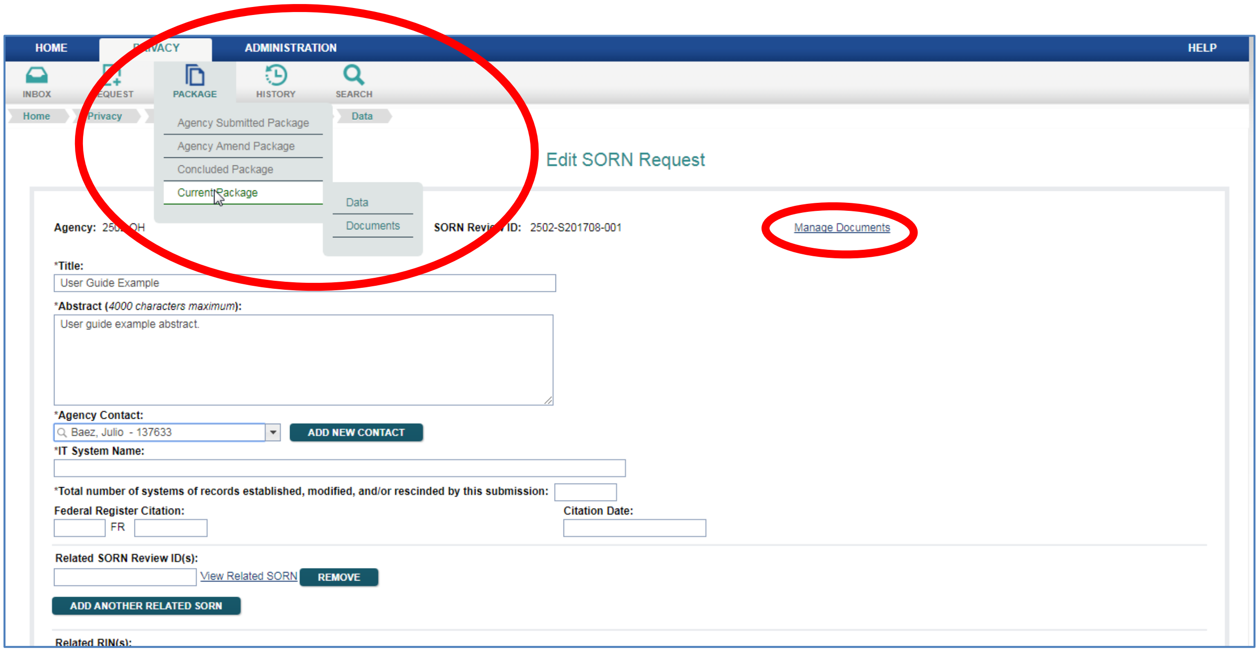
Related RIN(s):

Related OMB Control Number(s):

Figure 6.8: Edit SORN Request Screen with ‘Save’ Button

7. HOW TO Electronically Attach (Upload) SORN Documents

To upload (electronically attach) the required documents, move to the top of the 'Edit SORN Request' screen and click on the link to 'Manage Documents'. Or, mouse over 'Package' on your tab row, mouse over 'Current Package' from the drop down list, and then click on 'Documents'.



Edit SORN Request

Agency: 25 OH

SORN Revi ID: 2502-S201708-001

*Title:
User Guide Example

*Abstract (*4000 characters maximum*):
User guide example abstract.

*Agency Contact:
Baez, Julio - 137633

*IT System Name:

*Total number of systems of records established, modified, and/or rescinded by this submission:

Federal Register Citation:
FR

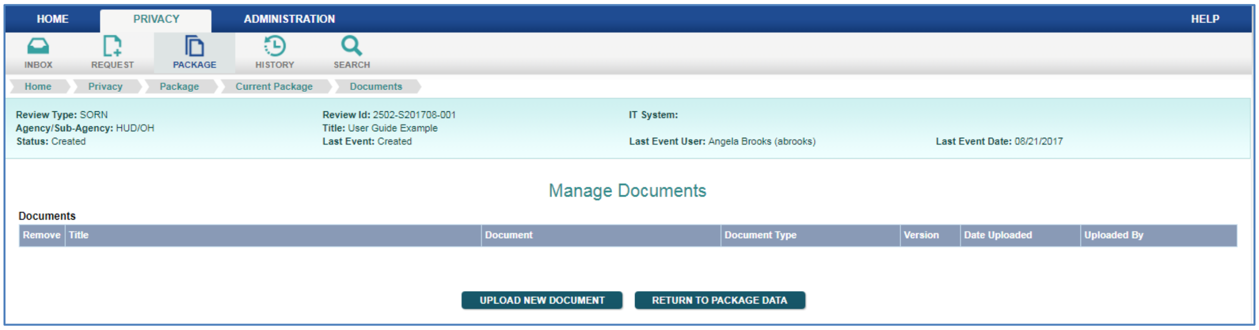
Citation Date:

Related SORN Review ID(s):

Related RIN(s):

Figure 7.1: Edit SORN Request with Paths to 'Manage Documents'

With either method, the user will be presented with a new screen from which to load documents.



Review Type: SORN
Agency/Sub-Agency: HUD/OH
Status: Created
Review Id: 2502-S201708-001
Title: User Guide Example
Last Event: Created
IT System:
Last Event User: Angela Brooks (abrooks)
Last Event Date: 08/21/2017

Manage Documents

Documents

Remove	Title	Document	Document Type	Version	Date Uploaded	Uploaded By

Figure 7.2: Manage Documents Screen

Every SORN request requires a Transmittal Letter, a Narrative Statement and a Federal Register Notice. Details on what each type of document should contain can be found in Appendix A.

To upload a new document, click on the button with that label. A new pop-up window will appear, prompting the user for a title and the corresponding document type. The user will select the document type from the drop down list provided.

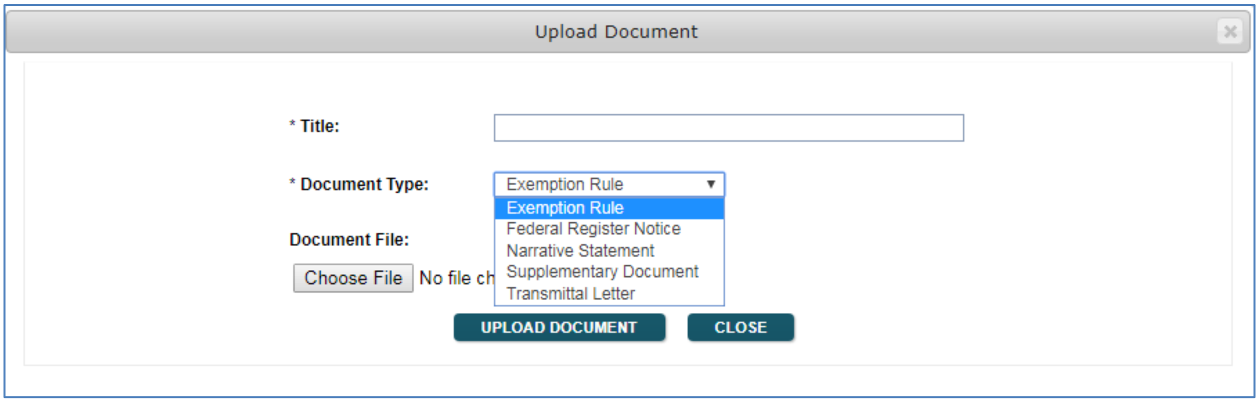
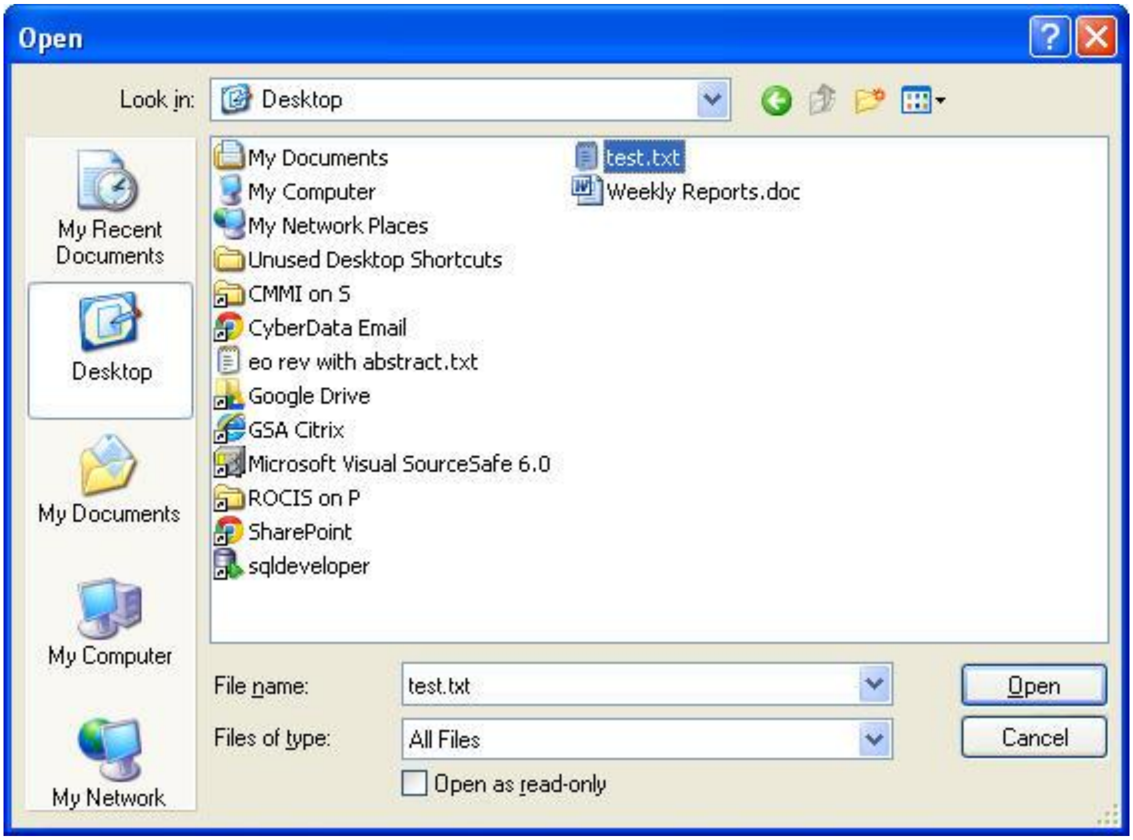


Figure 7.3: Upload Document Pop-up Screen

The third field is for the name of the file that you want to upload. Click the ‘Browse’ button, and ROCIS will allow you to browse files on your local computer to find the right document. Once you have found it, simply click on the file name and it will appear in the window. Next, click the ‘Open’ button, and the path to the document will appear in the ROCIS window. Finally, click the ‘Upload Document’ button, and ROCIS will attach the file electronically to your submission.



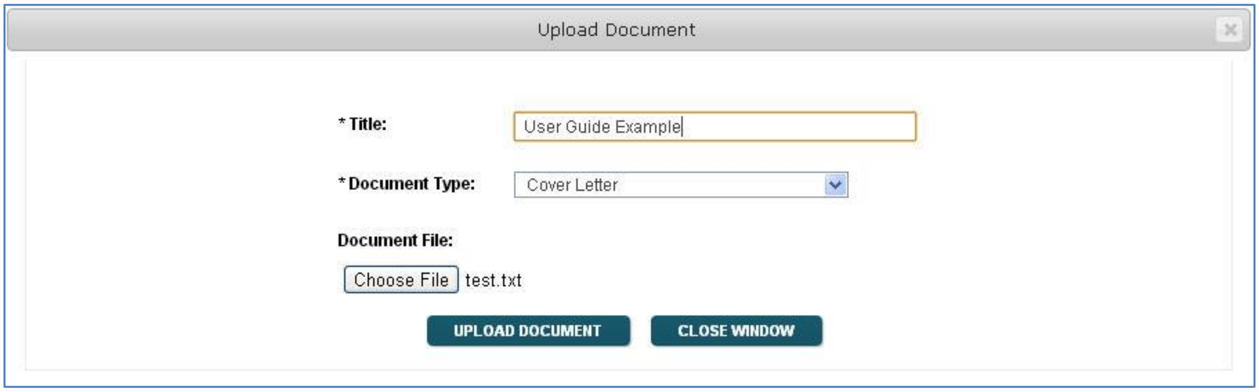
Look in: Desktop

File name: test.txt

Files of type: All Files

☐ Open as read-only

Figure 7.4: ‘Choose File’ Pop-up Screen

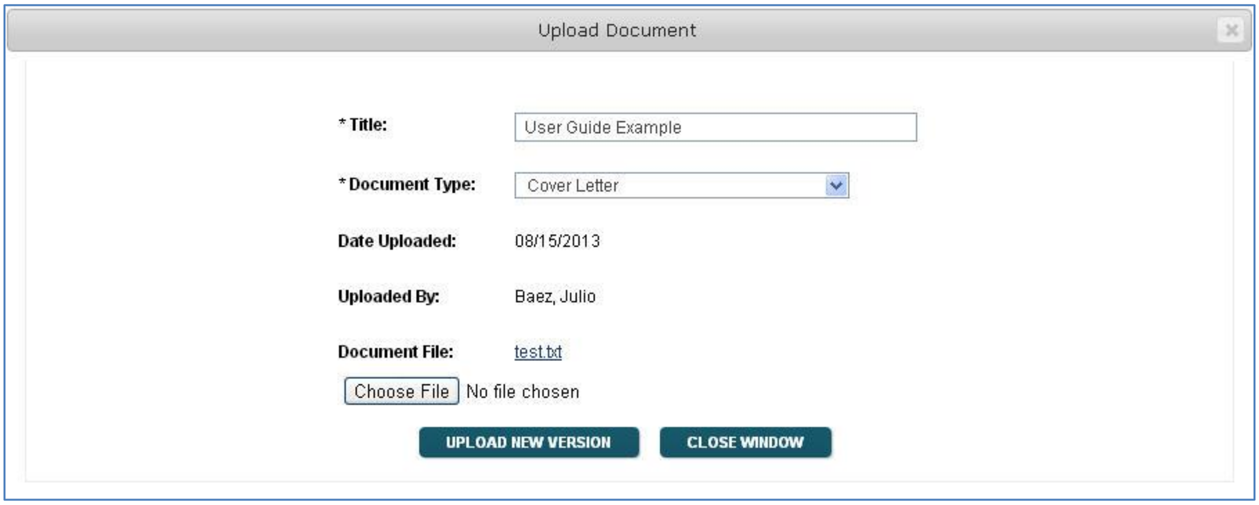


* Title: User Guide Example

* Document Type: Cover Letter

Document File: test.txt

Figure 7.5: Upload Document Pop-up with Path to Chosen Document



* **Title:** User Guide Example

* **Document Type:** Cover Letter

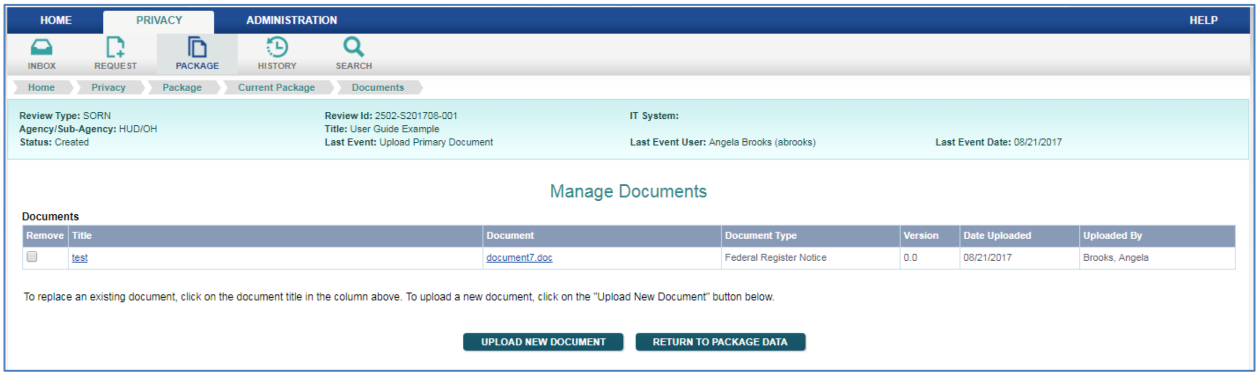
Date Uploaded: 08/15/2013

Uploaded By: Baez, Julio

Document File: test.txt

No file chosen

Figure 7.6: Upload Document Pop-up after Upload



Review Type: SORN
Agency/Sub-Agency: HUD/OH
Status: Created
Review Id: 2502-S201708-001
Title: User Guide Example
Last Event: Upload Primary Document
IT System:
Last Event User: Angela Brooks (abrooks)
Last Event Date: 08/21/2017

Manage Documents

Documents

Remove	Title	Document	Document Type	Version	Date Uploaded	Uploaded By
☐	test	document7.doc	Federal Register Notice	0.0	08/21/2017	Brooks, Angela

To replace an existing document, click on the document title in the column above. To upload a new document, click on the "Upload New Document" button below.

Figure 7.7: Manage Documents Screen with Transmittal Letter Uploaded

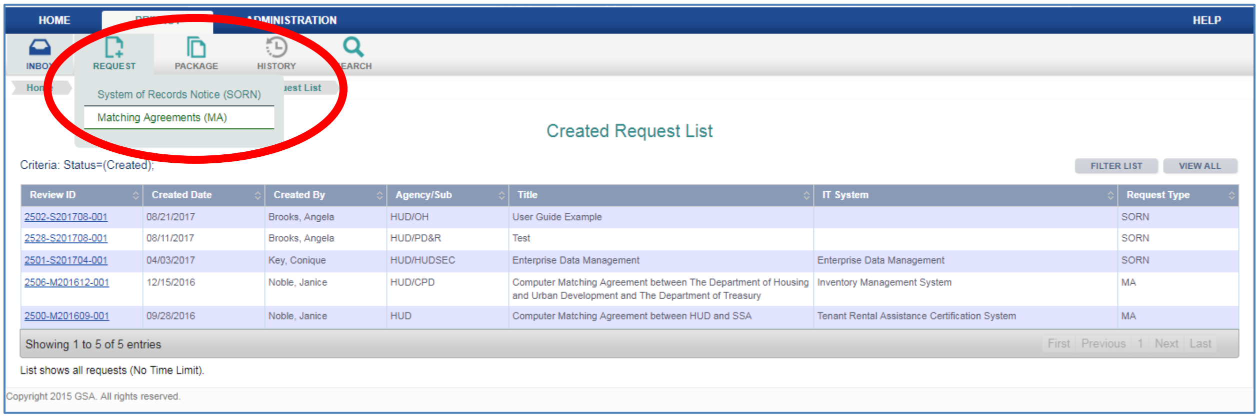
There is also now a box under the ‘Remove’ column. Should you want to delete this document, check the box by clicking on it, and then hit ‘Enter’ on your keypad. The document will be deleted from the ROCIS system.

If you find that you want to replace an already uploaded document, click on the document name. This method will allow you to replace the document. You should never have more than one version of each document type, except for Supplementary Documents (multiple are allowed), associated with your SORN request.

After you have uploaded all of your documents, return to the package by using the button provided. You will again be at the ‘Edit SORN Request’ screen.

8. HOW TO Create and Edit an MA Package

When you are ready to create an MA Package, choose ‘Request’ from the Home Row. You will see a drop down list with two items, ‘System of Records Notice (SORN)’ and ‘Matching Agreements (MA)”. Select the MA option by highlighting it with your mouse and left-clicking once.



Created Request List

Criteria: Status=(Created);

Review ID	Created Date	Created By	Agency/Sub	Title	IT System	Request Type
2502-S201708-001	08/21/2017	Brooks, Angela	HUD/OH	User Guide Example		SORN
2528-S201708-001	08/11/2017	Brooks, Angela	HUD/PD&R	Test		SORN
2501-S201704-001	04/03/2017	Key, Conique	HUD/HUDSEC	Enterprise Data Management	Enterprise Data Management	SORN
2506-M201612-001	12/15/2016	Noble, Janice	HUD/CPD	Computer Matching Agreement between The Department of Housing and Urban Development and The Department of Treasury	Inventory Management System	MA
2500-M201609-001	09/28/2016	Noble, Janice	HUD	Computer Matching Agreement between HUD and SSA	Tenant Rental Assistance Certification System	MA

Showing 1 to 5 of 5 entries

List shows all requests (No Time Limit).

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Figure 8.1: Create New MA Package Selection Screen

You will be presented with a new screen, showing two ways to create an MA package. The first option is used when creating a new MA package with no MA related Review ID.

The second option is used when creating a new MA package related to a previously reviewed MA that has already been reviewed by OIRA through the ROCIS system and published in the Federal Register. The OIRA conclusion action must be either ‘Reviewed with Change’ or ‘Reviewed without Change’—it cannot be ‘Improperly Submitted’ or ‘Withdrawn’. When choosing this option, a new MA request will be created for the same agency/subagency as the related MA, and many data items from the related MA request will be copied into the new request.

To discuss all of the data items for an MA request, the first option will be selected for this example.

After choosing to create a new MA package, the screen below will be displayed. Users must select an agency, a subagency if appropriate, and enter a title and abstract.

Whenever ROCIS supplies a drop down list of values from which to choose, there is a small arrow at the end of the input box. For agency and subagency, ROCIS will display the values that the user is authorized to access.

Matching sets of upward and downward pointing arrows indicate that the input box allows scrolling. So, for example, if the abstract entered is greater than can be displayed in the box, the user can scroll up or down through the text.

Notice the three buttons underneath the Abstract text area. A user can check spelling of text items using the 'Check Spelling' button, save the data entered to date and create a new MA request with the 'Create' button, or erase unsaved data with the 'Cancel' button.

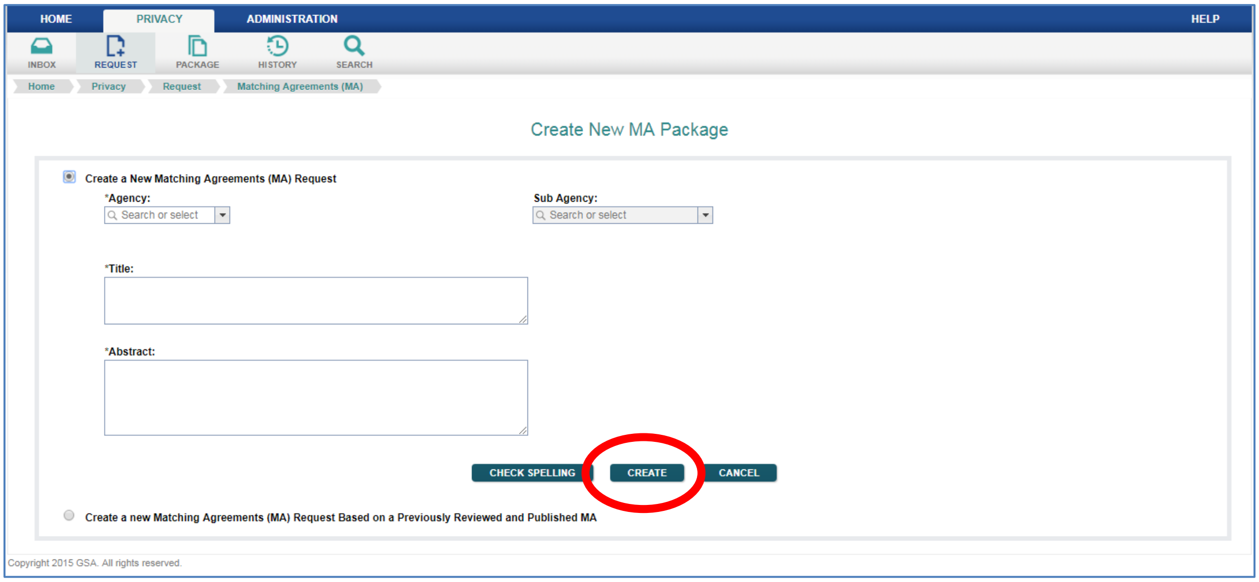
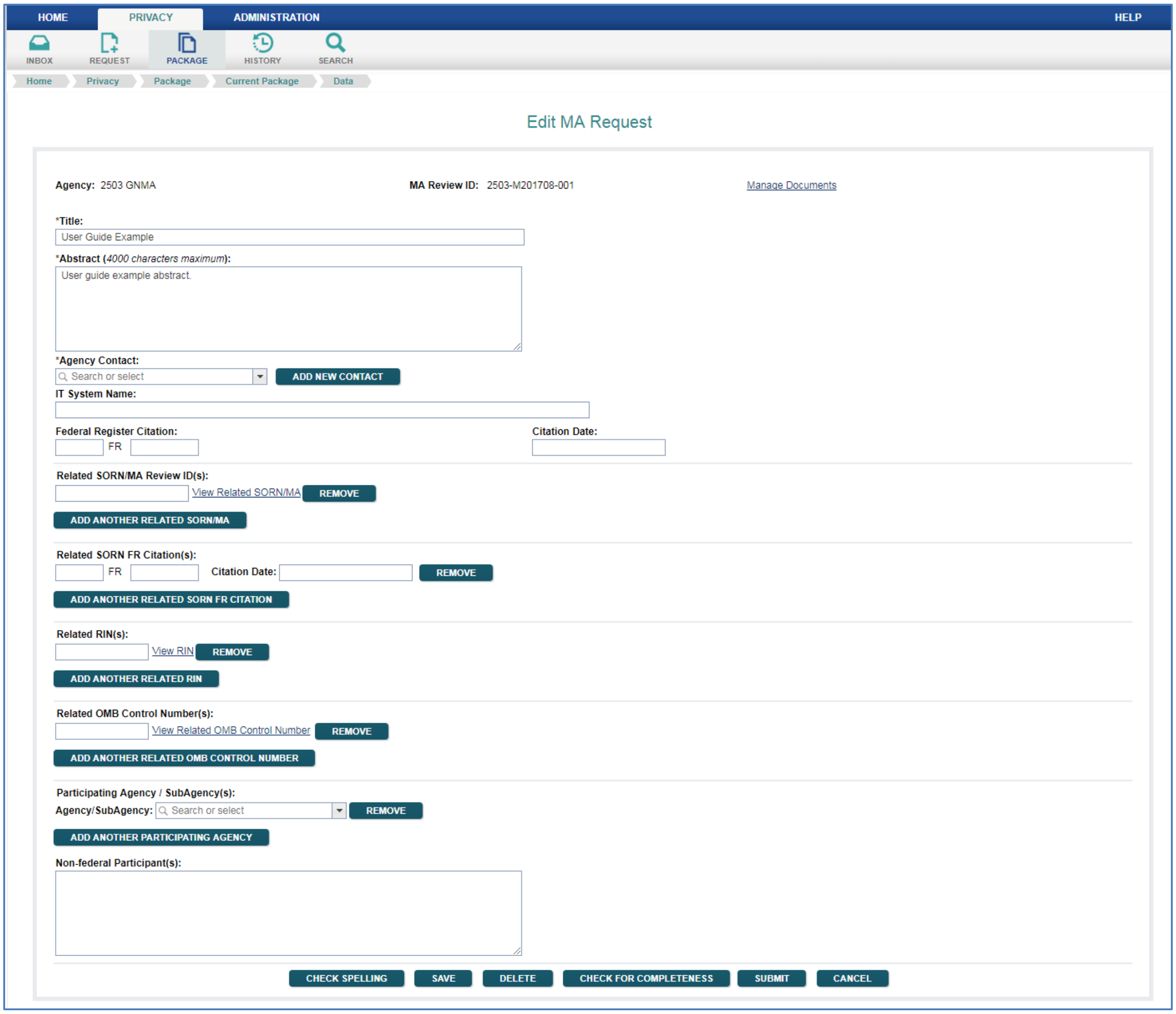


Figure 8.2 Create New MA Package Data Entry Screen

After the request has been successfully created, the user is transferred to the ‘Edit MA Request’ screen. The agency or subagency number and acronym are displayed, as well as the unique MA Review ID automatically assigned by ROCIS to this particular request. These items may not be changed.

Also at the top of the screen is a link to the ‘Manage Documents’ portion of the MA process. That will be discussed under the ‘Upload Documents’ topic in the manual.

All data items marked with an asterisk are required before a request can be submitted to OIRA. If the item does not have an asterisk, it is optional.



Edit MA Request

Agency: 2503 GNMA
MA Review ID: 2503-M201708-001
Manage Documents

***Title:** User Guide Example
***Abstract** (*4000 characters maximum*)**:** User guide example abstract.
***Agency Contact:** Search or select
IT System Name:
Federal Register Citation: FR
Citation Date:
Related SORN/MA Review ID(s): View Related SORN/MA
Related SORN FR Citation(s): FR **Citation Date:**
Related RIN(s): View RIN
Related OMB Control Number(s): View Related OMB Control Number
Participating Agency / SubAgency(s):
Agency/SubAgency: Search or select
Non-federal Participant(s):

Figure 8.3: Edit MA Screen

Title and Abstract are required data items. They may be changed on this screen.

Agency Contact is required: This should be the individual that the OIRA desk officer can contact with any questions about the MA request. If the user clicks on the arrow at the end of the input box, ROCIS will display a list of others from the organization that have been identified as contacts in ROCIS previously. If the name of the appropriate individual appears in the list, simply highlight the name, and ROCIS will select that person. If the name of the individual is not in the list, the user can create a new contact by selecting the ‘Add New Contact’ button.

See section 6, “HOW TO Create and Edit a SORN Package”, for information on how to manage contacts in ROCIS.

Related SORN/MA Review ID: Conditional field which contains an MA Review ID for a request that was previously reviewed by OIRA and has a publication date indicating that it has appeared in the Federal Register. An MA request can only be related to another MA or SORN review if they are for the same agency or subagency. Related SORN/MA Review ID is required when no Related SORN FR Citation has been entered.

Related SORN FR Citation: Conditional field which contains the FR citation for a SORN that has been published in the Federal Register. A valid citation contains a volume number, a page number, and the publication date in the format MM/DD/YYYY. ROCIS does not accept partial FR citation information. All three data items must be entered at the same time. Given a valid citation date, the associated FR volume would be YYYY – 1935. ROCIS will not accept a citation date earlier than 1950. Related SORN FR Citation is required when no Related SORN/MA Review ID has been entered.

The remaining data items on this screen are optional.

IT System Name: Please enter the name of the system to which this MA applies.

Federal Register Citation and Citation Date indicate when the MA in question was published in the Federal Register. If the request is submitted to OIRA at the same time that the notice is sent to the Federal Register, this data will not be available until after the review is concluded. A valid citation contains a volume number, a page number, and the publication date in the format MM/DD/YYYY. ROCIS does not accept partial FR citation information. All three data items must be entered at the same time. Given a valid citation date, the associated FR volume would be YYYY – 1935. ROCIS will not accept a citation date earlier than 1950.

Related RIN(s): Optional field to indicate that this request is related to a rulemaking that has been entered into the Unified Agenda and assigned a Regulatory Identification Number (RIN) A Related RIN can be any valid RIN, regardless of Agency.

Related OMB Control Number(s): Optional field to indicate that this request is related to a submission under the Paperwork Reduction Act that has been assigned a valid OMB Control Number. A Related OMB Control Number can be any valid OMB Control Number, regardless of Agency.

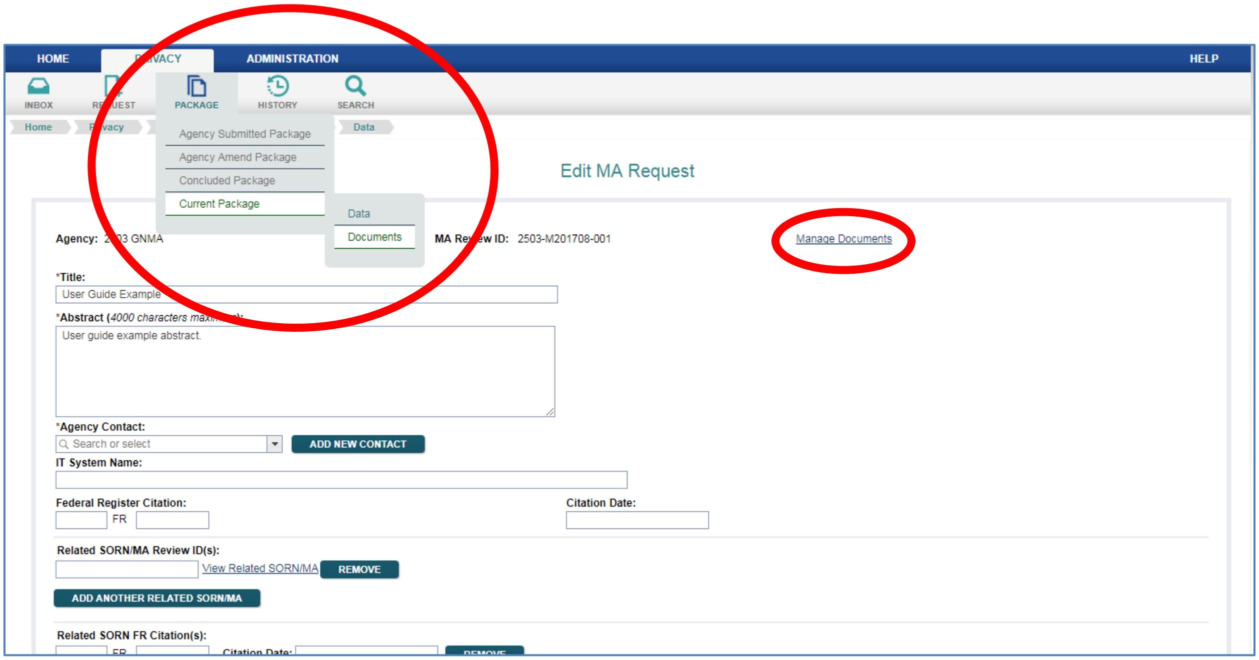
Participating Agency/Subagency(s): Optional field to indicate the federal agencies participating in the MA. One or more agencies can be selected from a drop-down list and added to the MA request.

Non-federal Participant(s): Optional field to indicate the non-federal parties participating in the MA. Enter the names of the non-federal participants in the space provided.

At this point, all of your data should be saved by selecting the 'Save' Button. (Data can be saved at any time during the editing process). You will then be ready to add the necessary documents to your request.

9. HOW TO Electronically Attach (Upload) MA Documents

To upload (electronically attach) the required documents, move to the top of the ‘Edit MA Request’ screen and click on the link to ‘Manage Documents’. Or, mouse over ‘Package’ on your tab row, mouse over ‘Current Package’ from the drop down list, and then click on ‘Documents’.



Edit MA Request

Agency: 2[illegible]03 GNMA

MA Review ID: 2503-M201708-001

*Title: User Guide Example

*Abstract (*4000 characters maximum*): User guide example abstract.

*Agency Contact: Search or select

IT System Name:

Federal Register Citation: FR

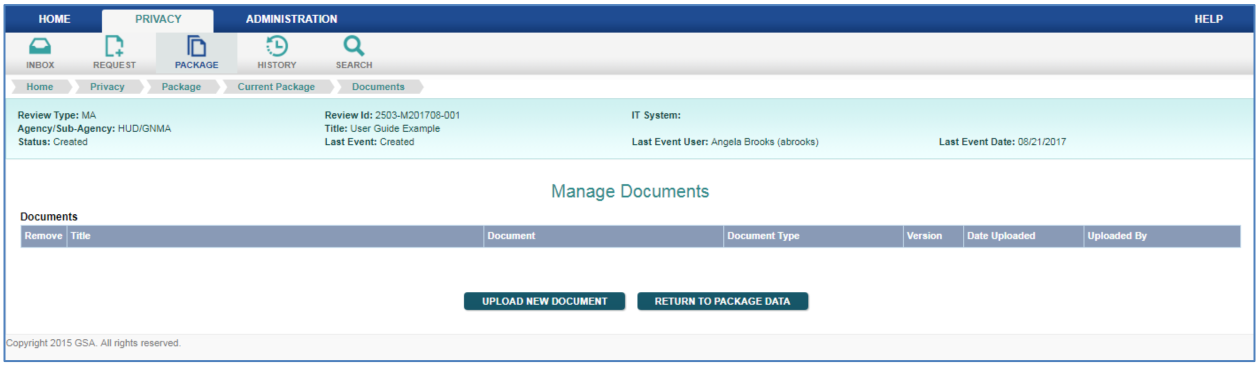
Citation Date:

Related SORN/MA Review ID(s):

Related SORN FR Citation(s): FR Citation Date:

Figure 9.1: Edit MA Request with Paths to ‘Manage Documents’

With either method, the user will be presented with a new screen from which to load documents.



Review Type: MA
Agency/Sub-Agency: HUD/GNMA
Status: Created

Review Id: 2503-M201708-001
Title: User Guide Example
Last Event: Created

IT System:
Last Event User: Angela Brooks (abrooks)

Last Event Date: 08/21/2017

Manage Documents

Documents

Remove	Title	Document	Document Type	Version	Date Uploaded	Uploaded By

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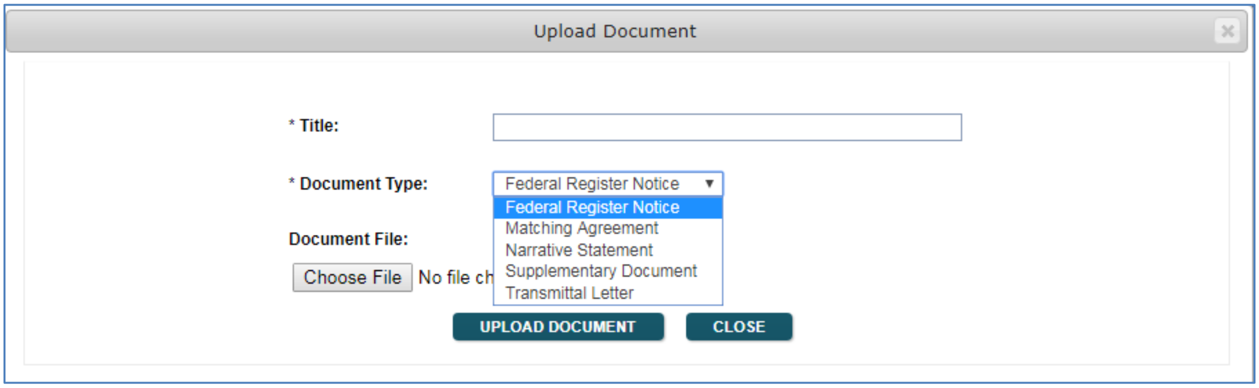
Figure 9.2: Manage Documents Screen

Every MA request requires a Transmittal Letter, a Narrative Statement, at least one Matching Agreement and a Federal Register Notice. Details on what each type of document should contain can be found in Appendix A.

To upload a new document, click on the button with that label. A new pop-up window will appear, prompting the user for a title and the corresponding document type. The user will select the document type from the drop down list provided.



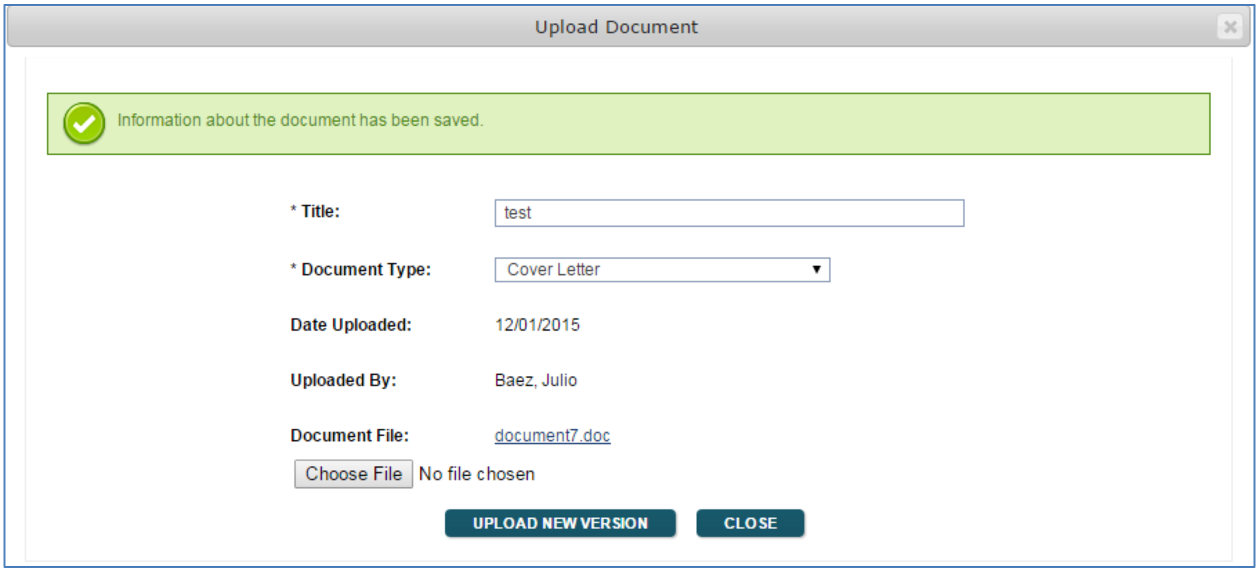
* **Title:**

* **Document Type:** Federal Register Notice

Document File: No file ch

Figure 9.3: Upload Document Pop-up Screen

The third field is for the name of the file that you want to upload. Click the ‘Browse’ button, and ROCIS will allow you to browse files on your local computer to find the right document. Once you have found it, simply click on the file name and it will appear in the window. Next, click the ‘Open’ button, and the path to the document will appear in the ROCIS window. Finally, click the ‘Upload Document’ button, and ROCIS will attach the file electronically to your submission.



Information about the document has been saved.

* **Title:** test

* **Document Type:** Cover Letter

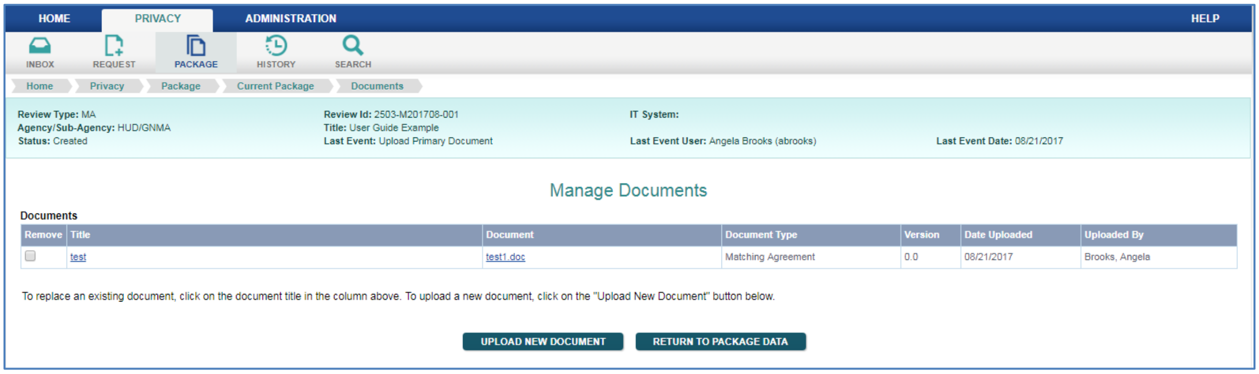
Date Uploaded: 12/01/2015

Uploaded By: Baez, Julio

Document File: document7.doc

No file chosen

Figure 9.4: Upload Document Pop-up after Upload



Review Type: MA
Agency/Sub-Agency: HUD/GNMA
Status: Created
Review Id: 2503-M201708-001
Title: User Guide Example
Last Event: Upload Primary Document
IT System:
Last Event User: Angela Brooks (abrooks)
Last Event Date: 08/21/2017

Manage Documents

Documents

Remove	Title	Document	Document Type	Version	Date Uploaded	Uploaded By
☐	test	test1.doc	Matching Agreement	0.0	08/21/2017	Brooks, Angela

To replace an existing document, click on the document title in the column above. To upload a new document, click on the "Upload New Document" button below.

Figure 9.5: Manage Documents Screen with Transmittal Letter Uploaded

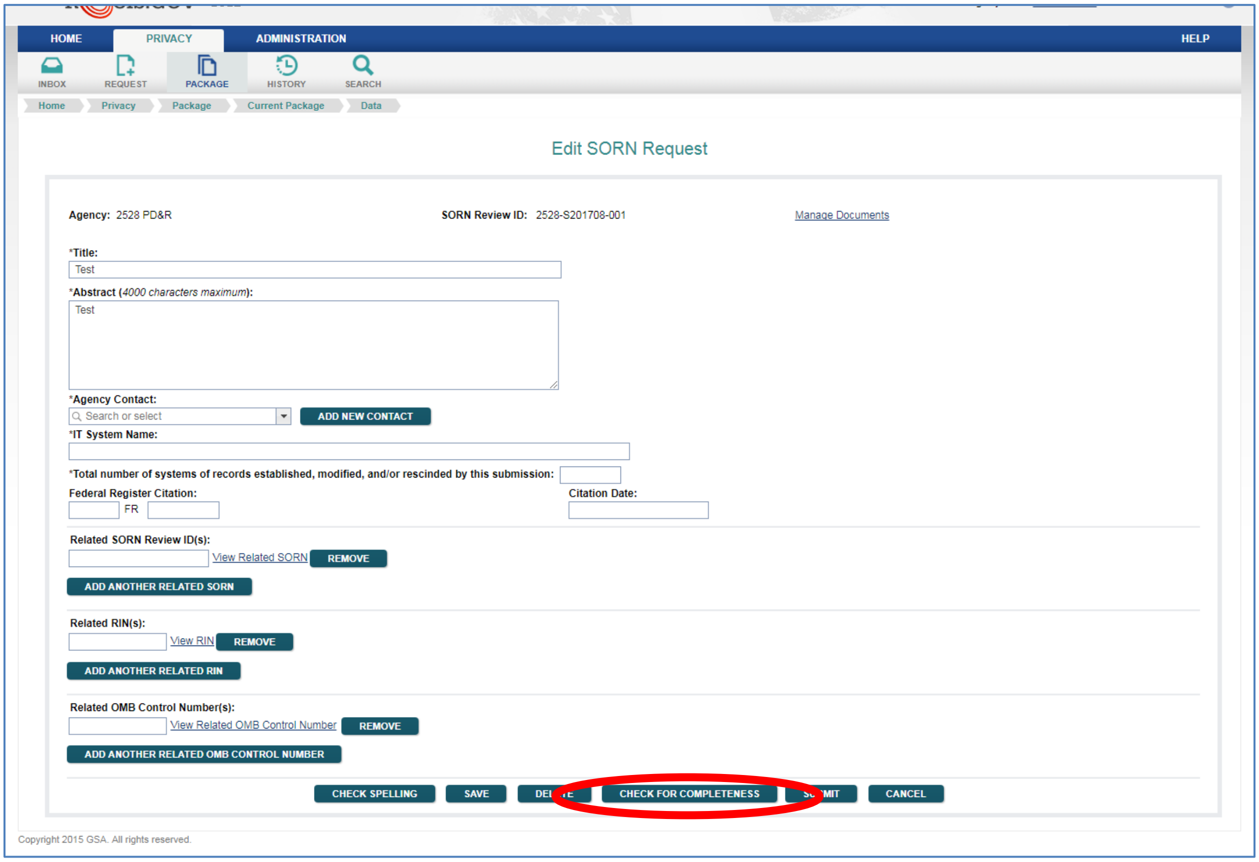
There is also now a box under the ‘Remove’ column. Should you want to delete this document, check the box by clicking on it, and then hit ‘Enter’ on your keypad. The document will be deleted from the ROCIS system.

If you find that you want to replace an already uploaded document, click on the document name. This method will allow you to replace the document. You may have more than one Matching Agreement and Supplementary Document associated with your MA request. Only 1 version of the other document types is allowed.

After you have uploaded all of your documents, return to the package by using the button provided. You will again be at the ‘Edit MA Request’ screen.

10. HOW TO Submit a SORN/MA Request

After entering all required data and uploading the necessary documents, you may want to perform a 'Check for Completeness' by selecting the button with that label at the bottom of the 'Edit SORN Request' or 'Edit MA Request' screen. ROCIS will do a validation of the data and documents. The result of the validation will be displayed at the top of the screen. ROCIS will either advise you that the request is complete, or notify you to provide information on what is missing.



Edit SORN Request

Agency: 2528 PD&R

SORN Review ID: 2528-S201708-001

*Title: Test

*Abstract (*4000 characters maximum*): Test

*Agency Contact:

*IT System Name:

*Total number of systems of records established, modified, and/or rescinded by this submission:

Federal Register Citation: FR

Citation Date:

Related SORN Review ID(s):

Related RIN(s):

Related OMB Control Number(s):

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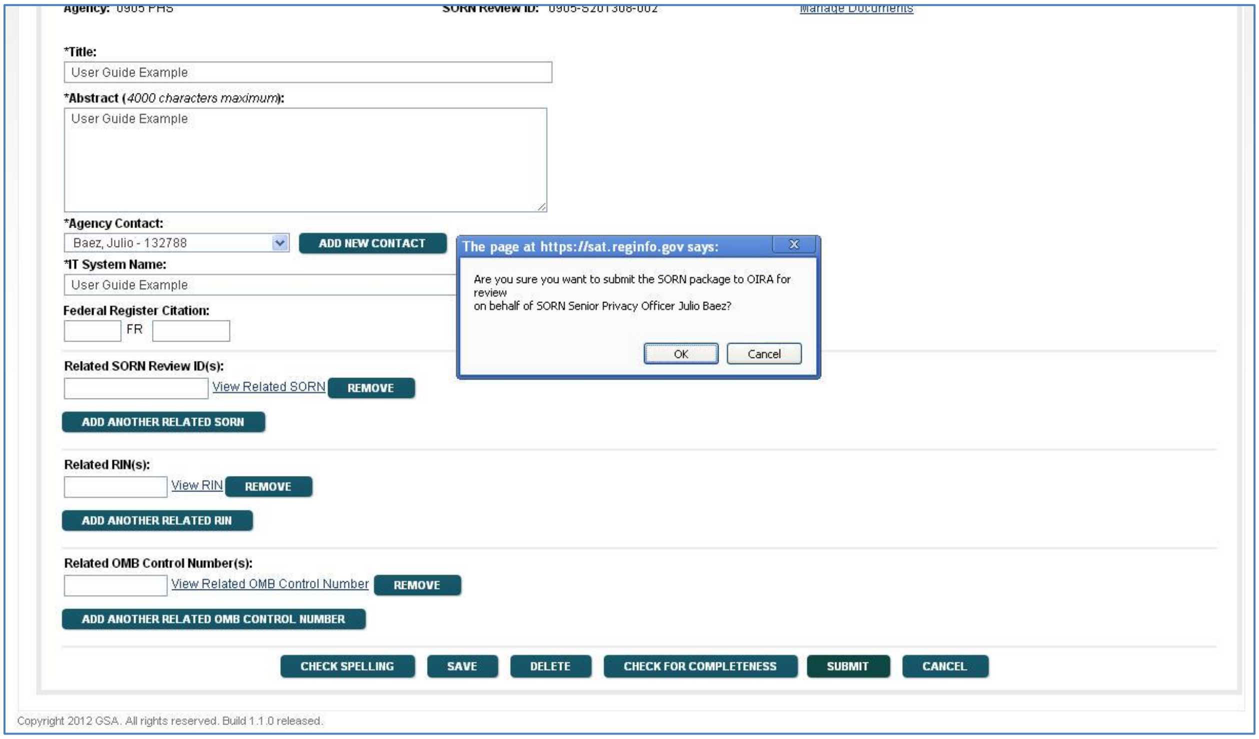
Figure 10.1: Edit SORN Request 'Check for Completeness' Button

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 Privacy module. If you do not have the 'Submit' button, save your request and notify an Senior Privacy Officer (SPO) at your organization that the request is ready to be submitted to OIRA. If you do not know who has SPO privileges, refer to the section on Employee Administration to perform a search by agency and role.

If the 'Submit' button does appear on your screen, simply select it. ROCIS will respond with a message asking if you want to submit on behalf of the SORN Senior Privacy Officer for your agency. If everything looks fine, click ‘OK’. The request will immediately be submitted to OIRA, and you will be transferred to your ‘Submitted Request List’.



Agency: 0905 PHS
SORN Review ID: 0905-S201308-002

***Title:** User Guide Example

***Abstract** (*4000 characters maximum*)**:** User Guide Example

***Agency Contact:** Baez, Julio - 132788

***IT System Name:** User Guide Example

Federal Register Citation: FR

Related SORN Review ID(s):

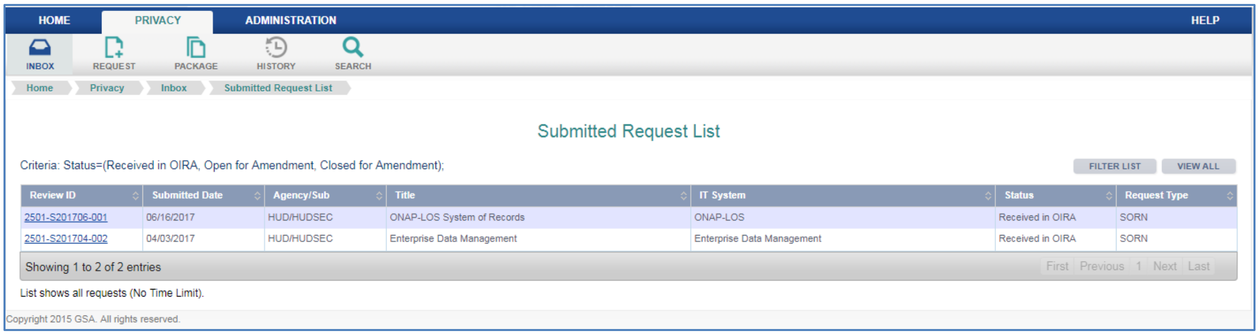
Related RIN(s):

Related OMB Control Number(s):

The page at https://sat.reginfo.gov says:

Are you sure you want to submit the SORN package to OIRA for review
on behalf of SORN Senior Privacy Officer Julio Baez?

Figure 10.2: Edit SORN Request Screen with Submit Verification Message



Submitted Request List

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

Review ID	Submitted Date	Agency/Sub	Title	IT System	Status	Request Type
2501-S201706-001	06/16/2017	HUD/HUDSEC	ONAP-LOS System of Records	ONAP-LOS	Received in OIRA	SORN
2501-S201704-002	04/03/2017	HUD/HUDSEC	Enterprise Data Management	Enterprise Data Management	Received in OIRA	SORN

Showing 1 to 2 of 2 entries

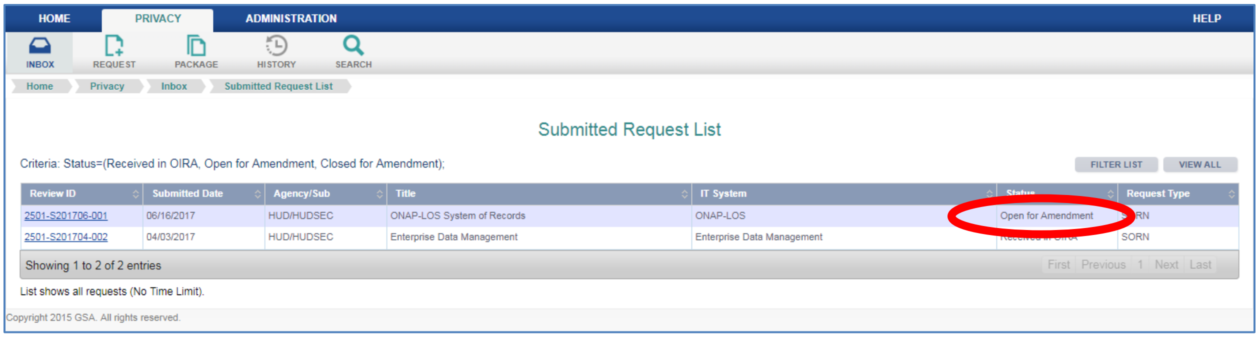
List shows all requests (No Time Limit).

Figure 10.3: Submitted Request List Screen

11. The Review Process and Open/Close for Amendment

When the SORN/MA request is submitted, the ROCIS system saves the agency submission (request 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 SORN/MA 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 submission, 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 submitted box for the agency. The status will be changed to ‘Open for Amendment’. Once a request has this status, the agency can operate on the submission by clicking on either the status or the Review ID in the submitted list, and make the changes discussed with OIRA.

You will see the change to ‘Open for Amendment’ in the status column of the request in your ‘Submitted’ box.



Submitted Request List

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

Review ID	Submitted Date	Agency/Sub	Title	IT System	Status	Request Type
2501-S201706-001	06/16/2017	HUD/HUDSEC	ONAP-LOS System of Records	ONAP-LOS	Open for Amendment	RN
2501-S201704-002	04/03/2017	HUD/HUDSEC	Enterprise Data Management	Enterprise Data Management	Received in OIRA	SORN

Showing 1 to 2 of 2 entries

List shows all requests (No Time Limit).

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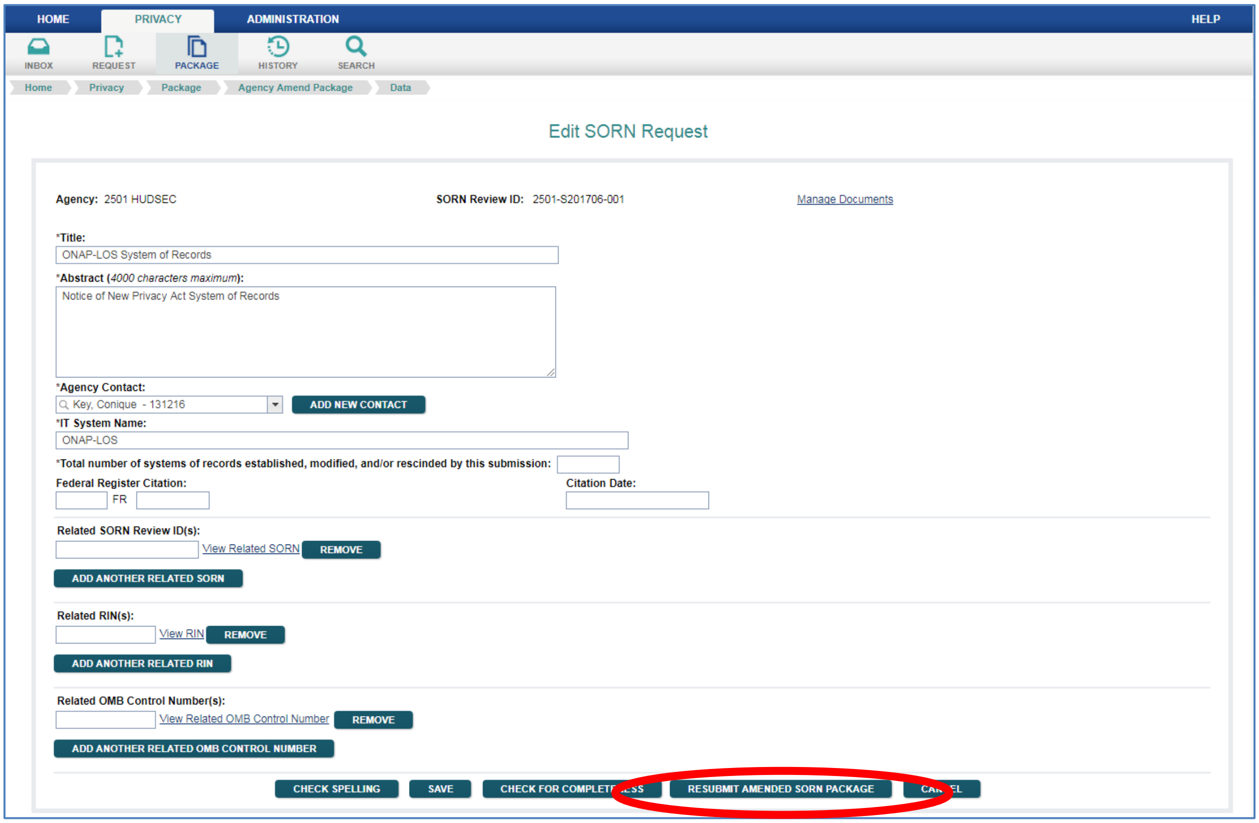
Figure 11.1: Submitted Request List Screen

To make changes to the package, select it by clicking on the Review ID.

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 any data changes.

Users may also upload new versions of documents while the package is ‘Open for Amendment’. You should always upload new versions of existing documents, rather than uploading new documents. Uploading new documents will result in duplicates of document types. Your request cannot be resubmitted if it contains, for example, more than one Transmittal Letter with the same version number. To upload a new version, click on the document name. The process to browse your local desktop files will be the same as it was before. When the new document is uploaded, it will show as another version of the same type of document.

When the necessary changes to the review package have been made, an SPO should select the ‘Resubmit’ button at the bottom of the ‘Edit SORN Request’ or ‘Edit MA Request’ screen. This will change the status to ‘Close for Amendment’, thus notifying the OIRA desk officer that the changes are completed. The OIRA desk officer also has the ability to change the status to ‘Close for Amendment’.



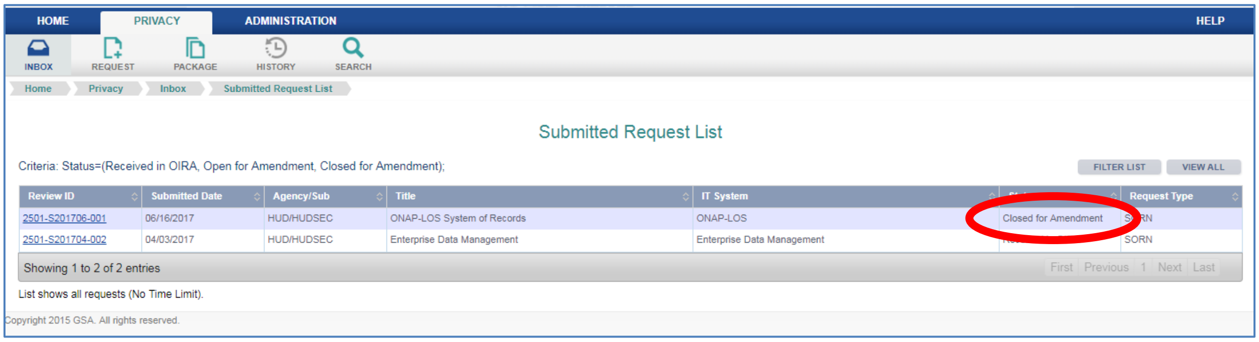
Edit SORN Request

Agency: 2501 HUDSEC
SORN Review ID: 2501-S201706-001

*Title: ONAP-LOS System of Records
*Abstract (*4000 characters maximum*): Notice of New Privacy Act System of Records
*Agency Contact: Key, Conique - 131216
*IT System Name: ONAP-LOS
*Total number of systems of records established, modified, and/or rescinded by this submission:
Federal Register Citation: FR
Citation Date:
Related SORN Review ID(s):
Related RIN(s):
Related OMB Control Number(s):

Figure 11.2: Edit SORN Request Screen with Resubmit Button

ROCIS will automatically transfer you back to your ‘Submitted’ list, where you can view the change in status.



Submitted Request List

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

Review ID	Submitted Date	Agency/Sub	Title	IT System	[illegible]	Request Type
2501-S201706-001	06/16/2017	HUD/HUDSEC	ONAP-LOS System of Records	ONAP-LOS	Closed for Amendment	[illegible]
2501-S201704-002	04/03/2017	HUD/HUDSEC	Enterprise Data Management	Enterprise Data Management	[illegible]	SORN

Showing 1 to 2 of 2 entries

List shows all requests (No Time Limit).

Figure 11.3: Submitted Request List Screen

Once the status is changed to ‘Closed for Amendment’, 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 default displayed version of the review. However, the agency can always choose to look at the original submission by going to the Package tab and choosing the ‘Agency Submitted Package’ option.

12. The Conclusion Process

When OIRA concludes review of the SORN/MA submission, ROCIS will display the submission in the agency's Concluded Inbox for 30 days. The agency can review all the information on the concluded review by clicking on the Review ID.

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

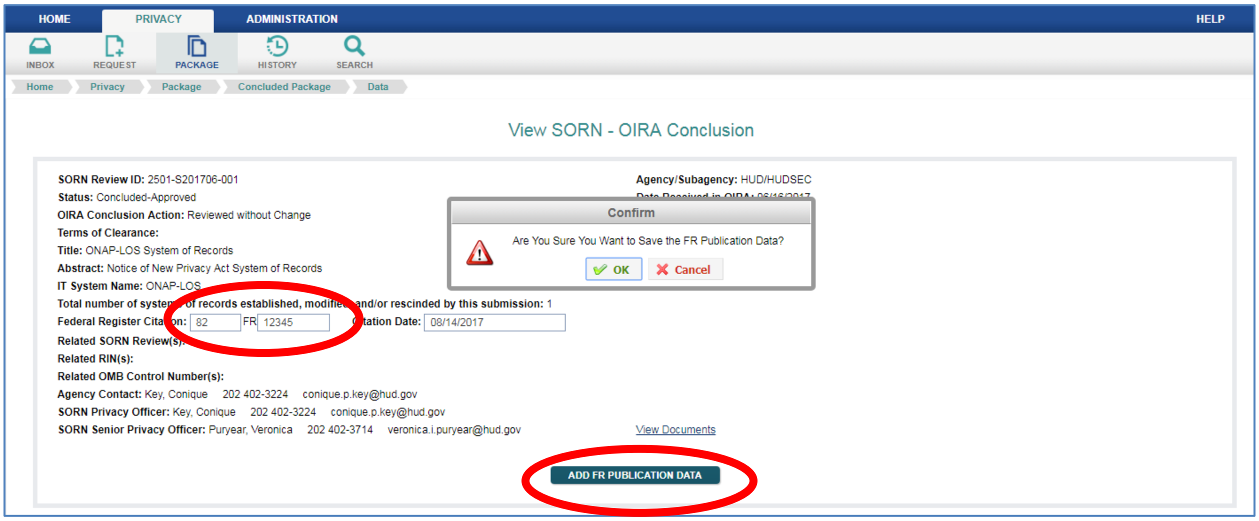
- Reviewed without Change—the request was reviewed by OIRA, and no substantive changes were necessary
- Reviewed with Change—the request was reviewed by OIRA and changes were made by the agency to the submission
- Improperly Submitted—OIRA determined that the request was not appropriate for OIRA review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

13. How to Add a Federal Register Citation to a Concluded Request

Normally, the SORN/MA will be published in the Federal Register either while the request is under review by OIRA or after the review is concluded. It is important that the FR citation be added to the concluded package.

The FR citation may be added to a previously reviewed package by an agency SORN user with a role of SORN Publication Updater (SPU). If there is no user at your agency that has this role, you should have your SORN Administrative Contact call the ROCIS Help Desk to make arrangements to have someone fill this role.

An SPU locates the appropriate package either in the concluded box or via a simple search. Click on the Review ID, and ROCIS will display the OIRA Conclusion Screen. The data items for publication volume, page number and date will be shown as entry boxes. Enter the publication information, and select the ‘Add FR Publication Data’ button. Be sure that the data is correct, since once the ‘OK’ is selected and the data is entered, it cannot be changed. If incorrect citation data is entered and processed by ROCIS, please call the ROCIS Help Desk at 866-450-5250 to ask for assistance from the ROCIS technical team.



View SORN - OIRA Conclusion

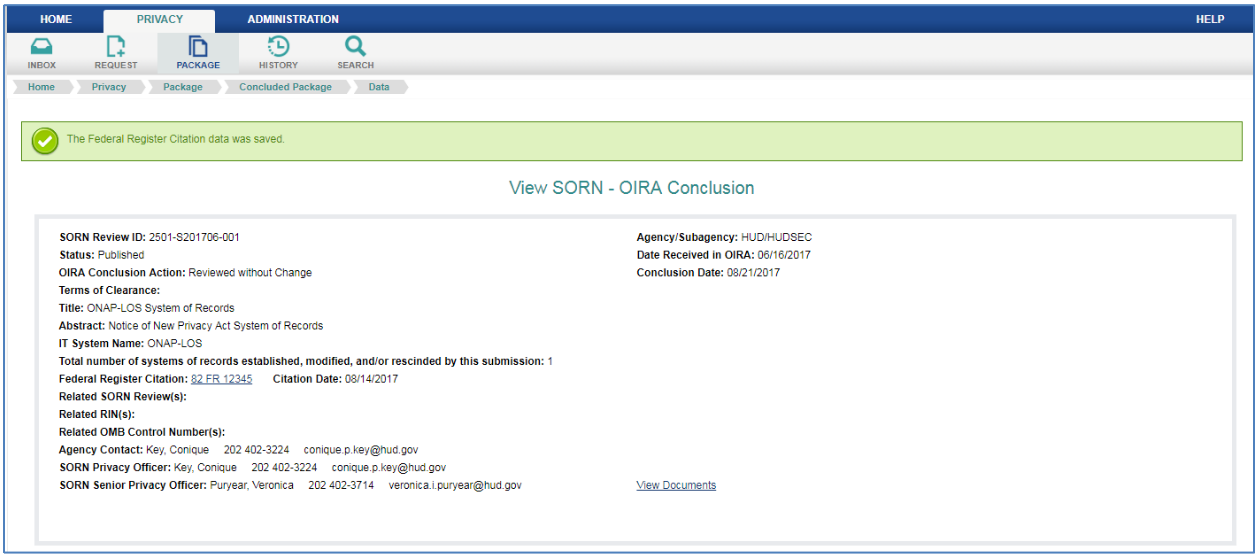
SORN Review ID: 2501-S201706-001
Status: Concluded-Approved
OIRA Conclusion Action: Reviewed without Change
Terms of Clearance:
Title: ONAP-LOS System of Records
Abstract: Notice of New Privacy Act System of Records
IT System Name: ONAP-LOS
Total number of syste of records established, modifie and/or rescinded by this submission: 1
Federal Register Cita on: 82 FR 12345 **tation Date:** 08/14/2017
Related SORN Review(s):
Related RIN(s):
Related OMB Control Number(s):
Agency Contact: Key, Conique 202 402-3224 conique.p.key@hud.gov
SORN Privacy Officer: Key, Conique 202 402-3224 conique.p.key@hud.gov
SORN Senior Privacy Officer: Puryear, Veronica 202 402-3714 veronica.i.puryear@hud.gov

Agency/Subagency: HUD/HUDSEC
Date Received in OIRA: 06/16/2017

Confirm

Are You Sure You Want to Save the FR Publication Data?

Figure 11.1: OIRA Conclusion Screen with FR Citation and Verification Message



The Federal Register Citation data was saved.

View SORN - OIRA Conclusion

SORN Review ID: 2501-S201706-001
Status: Published
OIRA Conclusion Action: Reviewed without Change
Terms of Clearance:
Title: ONAP-LOS System of Records
Abstract: Notice of New Privacy Act System of Records
IT System Name: ONAP-LOS
Total number of systems of records established, modified, and/or rescinded by this submission: 1
Federal Register Citation: 82 FR 12345 **Citation Date:** 08/14/2017
Related SORN Review(s):
Related RIN(s):
Related OMB Control Number(s):
Agency Contact: Key, Conique 202 402-3224 conique.p.key@hud.gov
SORN Privacy Officer: Key, Conique 202 402-3224 conique.p.key@hud.gov
SORN Senior Privacy Officer: Puryear, Veronica 202 402-3714 veronica.i.puryear@hud.gov

Agency/Subagency: HUD/HUDSEC
Date Received in OIRA: 06/16/2017
Conclusion Date: 08/21/2017

Figure 11.2: OIRA Conclusion Screen with Confirmation of Citation Data

Appendix A: Required Documents

Content of the Report of a New or Modified System of Records. The report of a new or significantly modified system of records includes a transmittal letter, a narrative statement, a draft Federal Register notice, any Privacy Act exemption rules, and any supplementary documents.

(1) *Transmittal Letter.* The transmittal letter serves as a brief cover letter accompanying the report. The transmittal letter shall:

  (A) Be signed by the Senior Agency Official for Privacy.

  (B) Contain the name, email address, and telephone number of the individual who can best answer questions about the proposed system of records.

  (C) Contain the agency's assurance that the proposed system of records fully complies with the Privacy Act and OMB policies.

  (D) Contain the agency's assurance that the proposed system of records does not duplicate any existing agency or government-wide systems of records.

(2) *Narrative Statement.* The narrative statement provides a brief overview of the proposed system of records making reference to the other materials in the report without simply restating information provided in those materials. The narrative statement shall:

  (A) Describe the purpose(s) for which the agency is establishing or modifying the system of records and explain how the scope of the system is commensurate with the purpose(s) of the system.

  (B) Identify the specific authority (statute or executive order) under which the system of records will be maintained. The agency shall avoid citing authority that is overly general; rather, the agency shall cite the specific programmatic authority for collecting, maintaining, using, and disseminating the information.

  (C) An evaluation of the probable or potential effect of the proposal on the privacy of individuals whose information will be maintained in the system of records.70 If the agency has conducted one or more privacy impact assessment(s) with respect to information technology that will be used to collect, maintain, or disseminate the information in the system of records, the privacy impact assessment(s) will likely provide the information necessary to meet this requirement, and may be submitted in lieu of drafting a separate evaluation.

(D) Explain how each new or modified routine use satisfies the compatibility requirement of the Privacy Act.

(E) Identify any information collections approved by OMB or submitted to OMB for approval that will be used to collect information that will be maintained in the system of records, and provide the relevant names, OMB control numbers, and expiration dates. If the request for OMB approval of an information collection is pending, the agency may simply state the name of the collection and the date it was submitted to OMB for review.

(3) *Federal Register Notice.* The draft new or revised notice in the format prescribed by the Office of the Federal Register SORN templates, which are provided in the appendices to this Circular.

(4) *Exemption Rule.* Any new Privacy Act exemption rules or changes to published exemption rules in Federal Register format that the agency proposes to issue that will apply to records in the new or significantly modified system of records.

(5) *Supplementary Documents.* The supplementary documents include:

(A) For significantly modified systems, the agency shall include a list of the substantive changes to the previously published version of the notice and/or a version of the previously published notice that has been marked up to show the changes that are being proposed.

(B) The agency shall include any other supplementary documents requested by OMB.

Content of the Report of a New or Modified Matching Program. The report of an established, re-established, or significantly modified matching program includes a transmittal letter, a narrative statement, a draft Federal Register notice, at least 1 matching agreement, and any supplementary documents.

(1) *Transmittal Letter.* The transmittal letter serves as a brief cover letter accompanying the report. The transmittal letter shall:

(A) Be signed by the Senior Agency Official for Privacy or the chairman of the Data Integrity Board.

(B) Contain the name, email address, and telephone number of the individual who can best answer questions about the proposed matching program.

(C) Contain the agency's assurance that the proposed matching program was approved by the agency's Data Integrity Board and fully complies with the Privacy Act and OMB policies.

(2) *Narrative Statement.* The narrative statement provides a brief overview of the proposed matching program making reference to the other materials in the report without simply restating information provided in those materials. The narrative statement shall:

(A) Describe the purpose(s) for which the agency is establishing, re-establishing, or significantly modifying the matching program.

(B) Identify the specific authority (statute or executive order) under which the agency is conducting the matching program. The agency shall avoid citing authority that is overly general; rather, the agency shall cite the specific programmatic authority for conducting the matching program.

(C) Describe the administrative, technical, and physical safeguards in place to protect against unauthorized access to records used in the matching program.

(D) Provide the agency's specific evaluation of the potential impact on the privacy of individuals whose records will be used in the matching program.

(E) Indicate whether a cost-benefit analysis was performed for the matching program, describe the results of the cost-benefit analysis, and explain the basis on which the agency is justifying the matching program.

(3) *Federal Register Notice.* The draft new or revised matching notice in the format prescribed by the Office of the Federal Register matching notice templates, which are provided in the appendices to this Circular.

(4) *Matching Agreement.* The full matching agreement(s) that was approved by the agency's Data Integrity Board.

(5) *Supplementary Documents.* The supplementary documents include:

(A) For significantly modified matching programs, the agency shall include a list of the substantive changes to the previously published version of the matching notice and/or a version of the previously published matching notice that has been marked up to show the changes that are being proposed.

(B) The agency shall include any other supplementary documents requested by OMB.

Appendix B: SORN Agency Roles

There are five roles within ROCIS that are specifically associated with the agency portion of the SORN module:

SORN Preparer (SP) – This individual can create and update SORN and MA requests. To obtain a ROCIS account, he has to go through his agency's SORN Administrative Contact (see role description below) and sign a security agreement.

SORN Privacy Officer (SPO) – This individual can do everything that a SORN Preparer can. He can also submit a request to OIRA for review on behalf of the agency SORN Senior Privacy Officer (SSPO). To obtain a ROCIS account, the SPO must go through the agency's SORN Administrative Contact and sign a security agreement. Additionally, the ROCIS technical team must receive an email from the agency SSPO, delegating the SSPO's authority to the new SPO to submit requests to OIRA. **Each agency must have at least one of these.**

SORN Administrative Contact (SAC) – This person is the primary point of contact for an agency with regard to new accounts. If someone from an agency wants an account with access to the Privacy module, the request must be made through the SORN Administrative Contact. The SAC will inform the ROCIS technical team of whether the new user will be an SP or an SPO and, if applicable, the subagencies within the agency to which the user should have access (this applies mostly to Cabinet agencies and EPA). **Each agency must have at least one of these.**

This SAC role actually has no ROCIS privileges associated with it, so the SAC is not a user and there are no requirements for a security agreement or training. However, in practice, almost all SACs are also SPOs, and all of the conditions for an SPO apply to them.

A change in an agency SAC is normally handled by the outgoing SAC, who notifies the ROCIS technical team of his replacement. If there is any question about who the SAC for an agency is, the ROCIS technical team will request an email from the SSPO naming the new SAC.

SORN Senior Privacy Officer (SSPO) – This person is ultimately responsible for verifying the accuracy and completeness of the information contained in each of the agency's SORN and MA submissions. Every SORN and MA request submitted in ROCIS carries the SSPO's identifying information, along with a notation of who submitted the request on the SSPO's behalf (that is, the name of the SPO who actually submitted the request to OIRA).

The SSPO is responsible for delegating authority to agency SPOs, and, when necessary, naming the agency's SAC. **Each agency must have at least one of these.**

SORN Publication Date Updater (SPU) – A person with this role is allowed to add a publication citation to a previously reviewed SORN or MA request. This role may be the only one an individual has, or it may be combined with any of the roles described above. **Each agency must have at least one of these.**