ROCIS How-To Guide for Agency Users of the Executive Order Regulatory Review Module (EO Reg Review)

August 3, 2015

Regulatory Information Service Center
(RISC)

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1. HOW TO Log Into ROCIS

If you are logging into the system, please point your browser to www.rocis.gov

Read and select the Accept Terms on the Warning Screen.

Enter your User ID (normally, your first initial and last name) and password (initially rocis123 until you change it to your personal password, as directed by the system). Select the Done button on the ROCIS Broadcast Message screen.

EO Reg Review processing is part of the Agenda/Regs module of ROCIS. You may be taken directly into the module or to a screen requesting you to choose between two or more of the ROCIS modules, depending on your ROCIS privileges. Please select 'Agenda/Regs' to use the EO Reg Review facility.

Exactly what screen you will see next depends upon the role that you have been assigned in ROCIS. If you have been given the role of Executive Order Regulatory Contact (EORC) (see Appendix A for complete list of roles), your default screen is 'Request New RIN'. Requesting a new RIN is actually an agenda function, and details on how to use this screen may be found in the Agenda User's Manual.

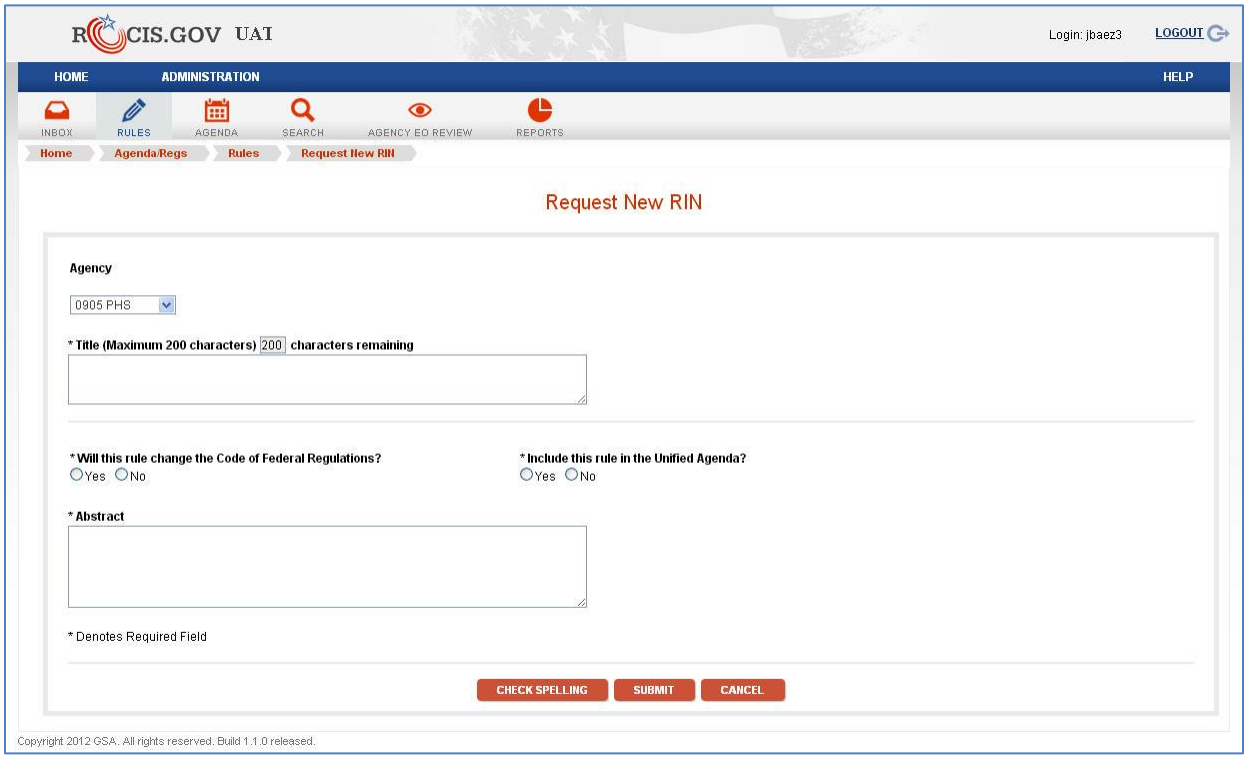


Figure 1.1: Initial Screen for EORC User

If you have been given the role of Regulatory Review Processer (RRP), your initial screen will be the 'EO Search' screen.

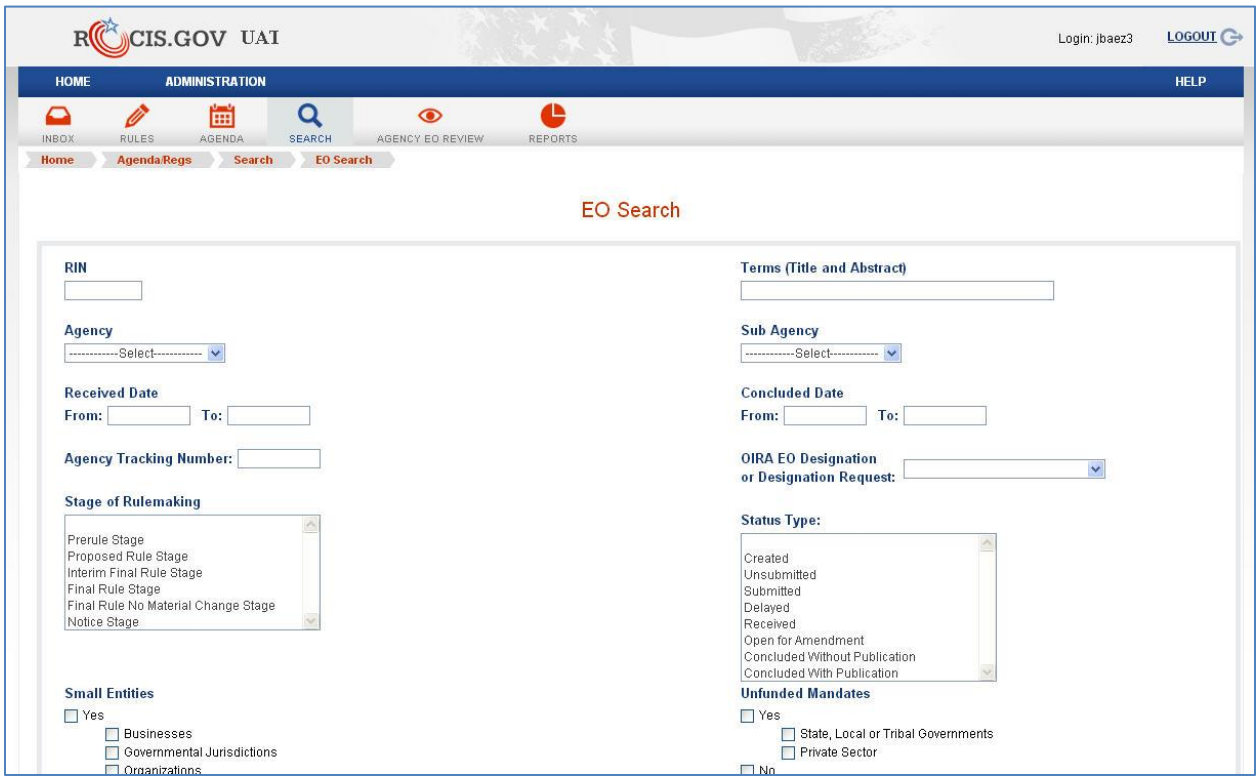


Figure 1.2: Initial Screen for RRP User

Regardless of your default screen, you will be able to navigate throughout the EO Reg Review 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.

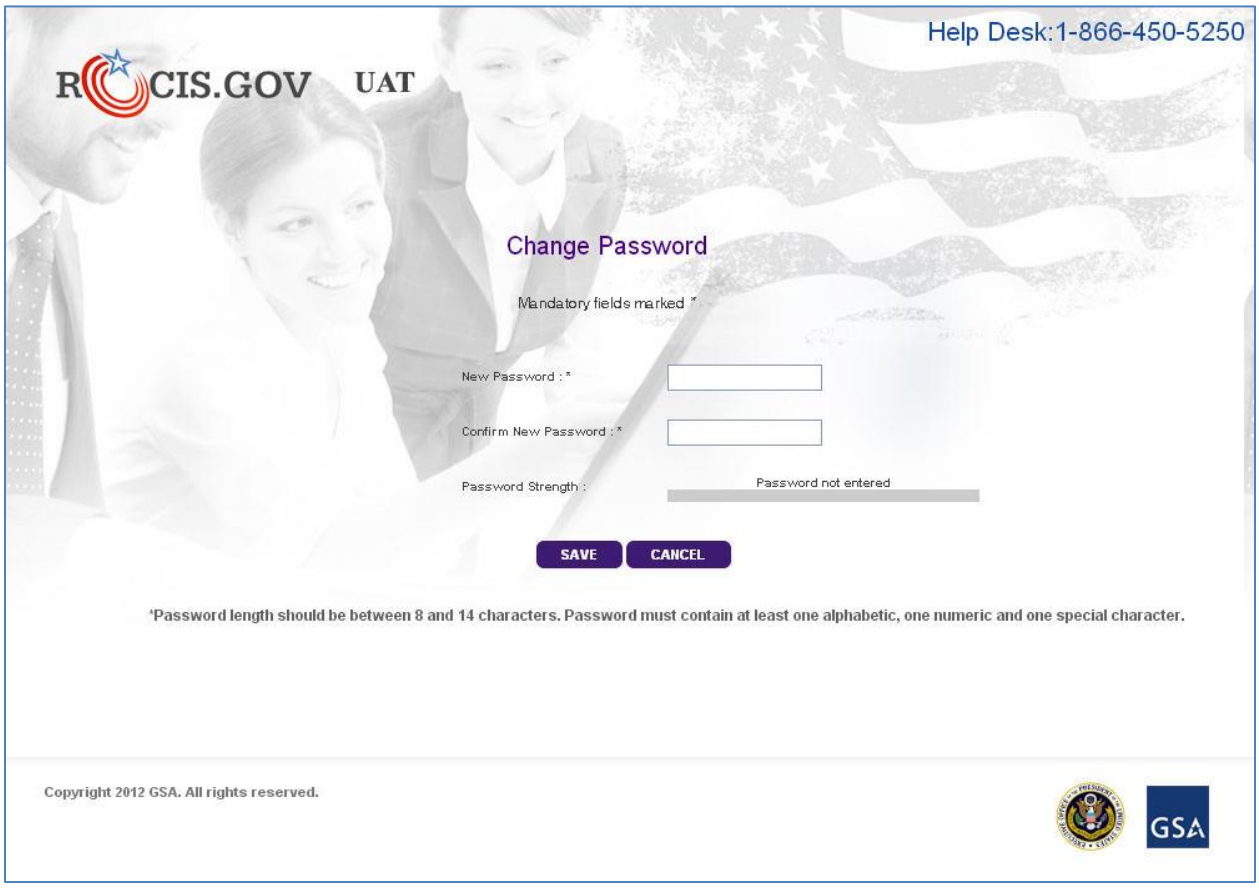


Figure 2.1: Change Password Screen for New Account

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 'Admin' from the tab row:

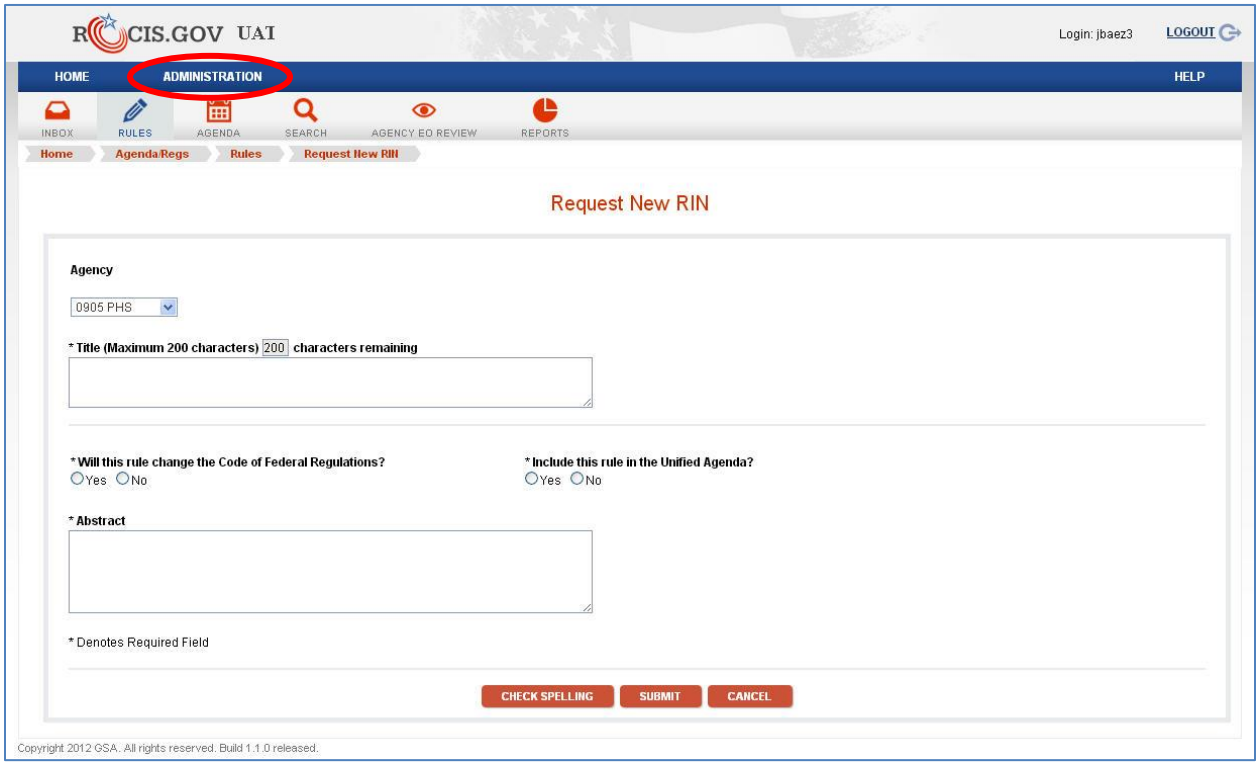


Figure 2.2: Admin Tab on Tab Row Screen

This will take you to the administrative functions of ROCIS. The system will default to placing you in your 'User Profile' screen.

From there, choose the 'Change Password' Option on the secondary tab row.

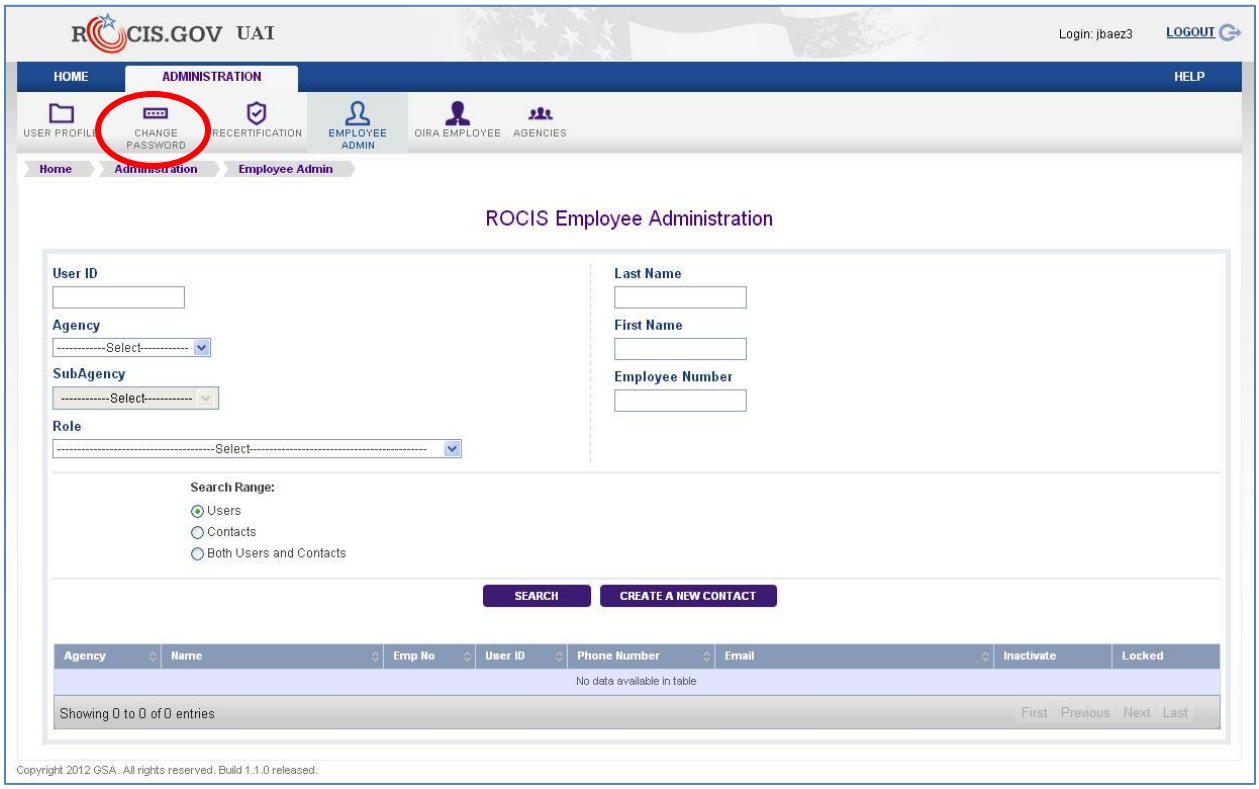


Figure 2.3: 'Change Password' Tab on User Detail Screen

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.

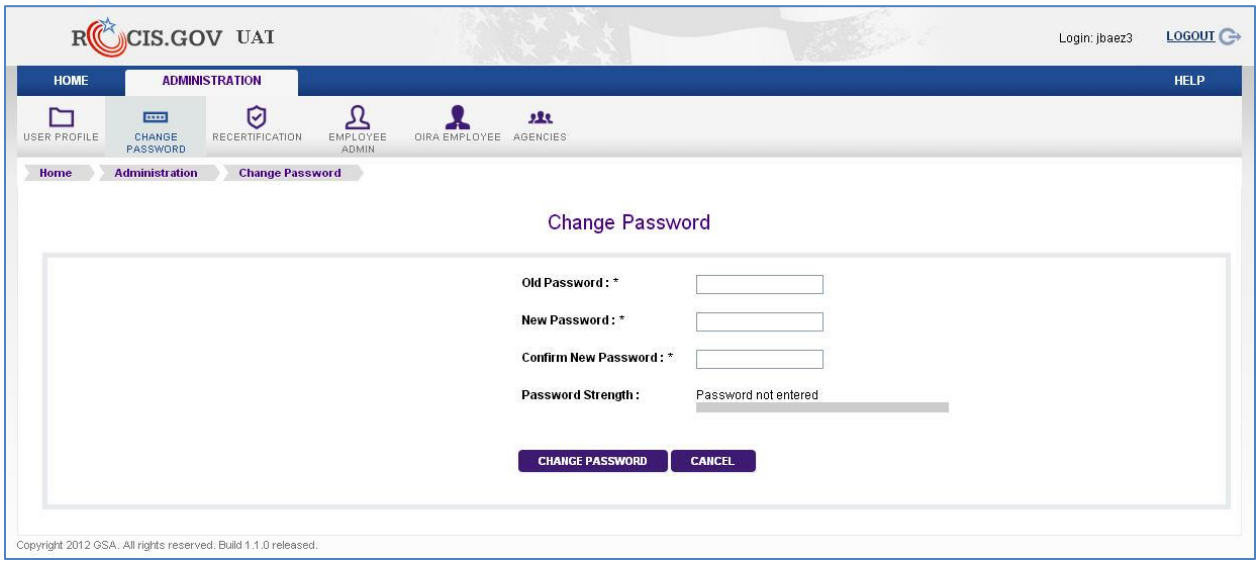


Figure 2.4: Change Password Screen for Expiring Password

3. HOW TO Review and Change Your User Profile

Your 'User Profile' tab is adjacent to the 'Change Password' tab on the Admin tab line (refer to figure 2.3 above). Select the User Profile tab to update your ROCIS information.

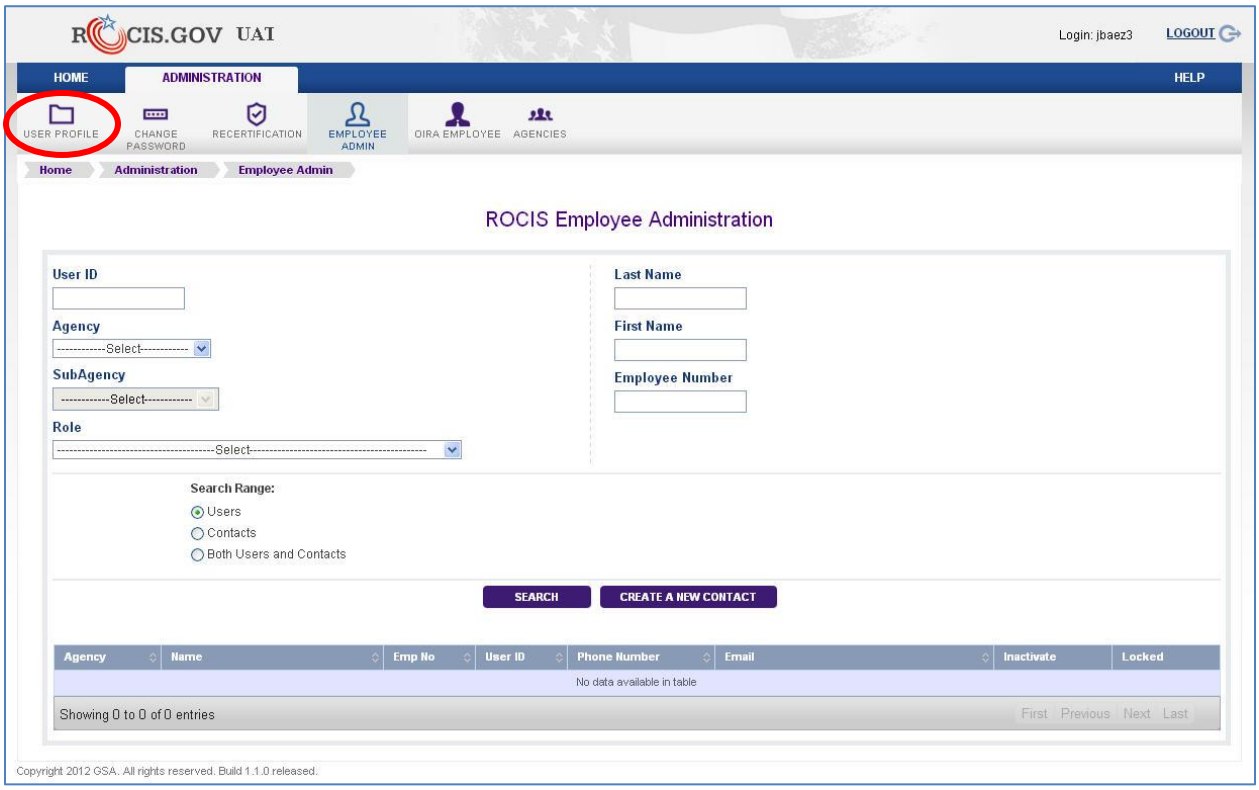


Figure 3.1: Admin Tab to Change User Profile

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 located 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 EO Reg Review roles can be found in Appendix A.

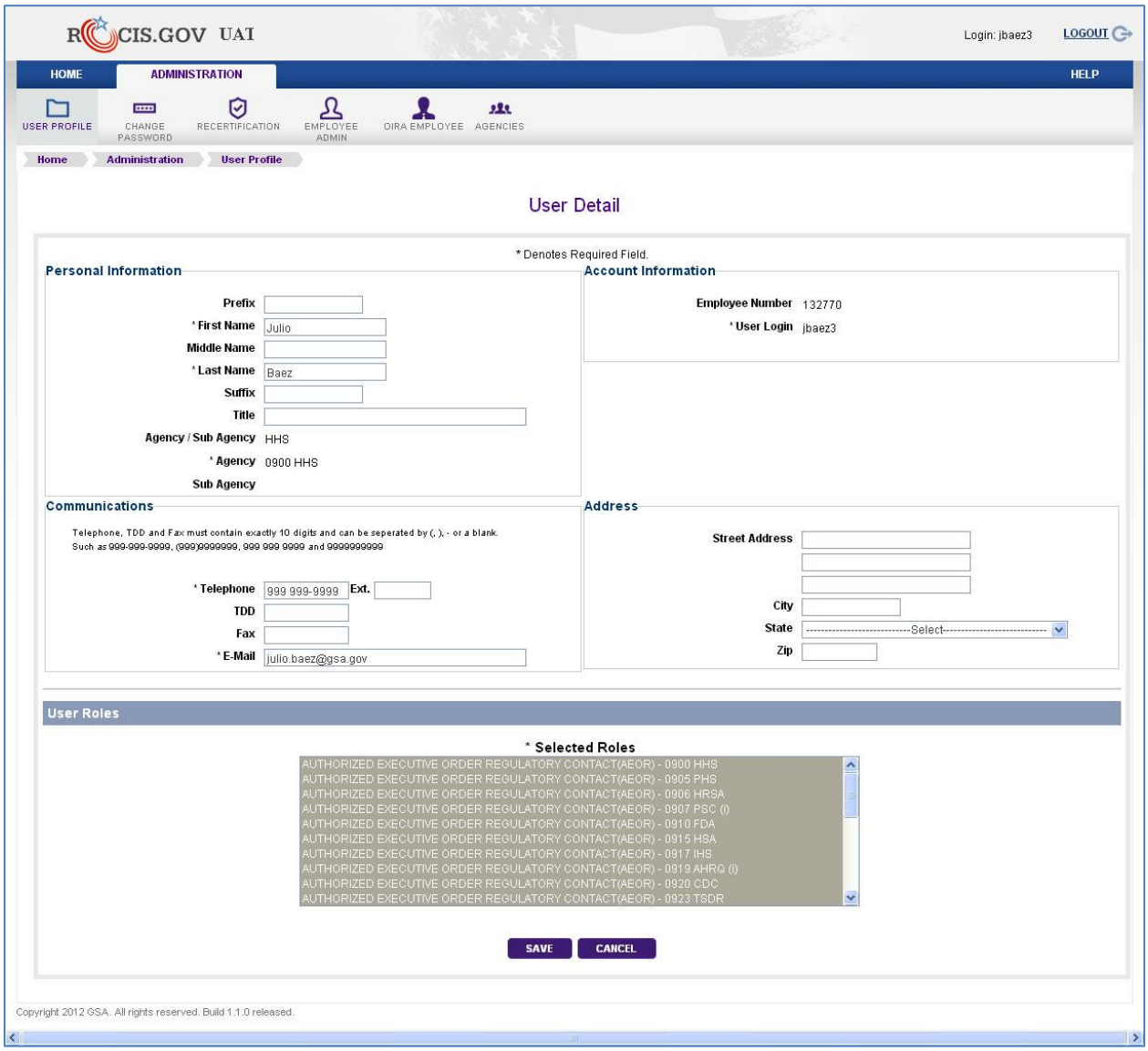


Figure 3.2: User Detail Screen

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 or identify other ROCIS users via a search capability. For instance, if you would like to look up another user's email, enter some portion of the user's name in the appropriate box. ROCIS will display any users with a matching entry for the name entered. Below is an example of a search for anyone with a last name starting with 'ba'.

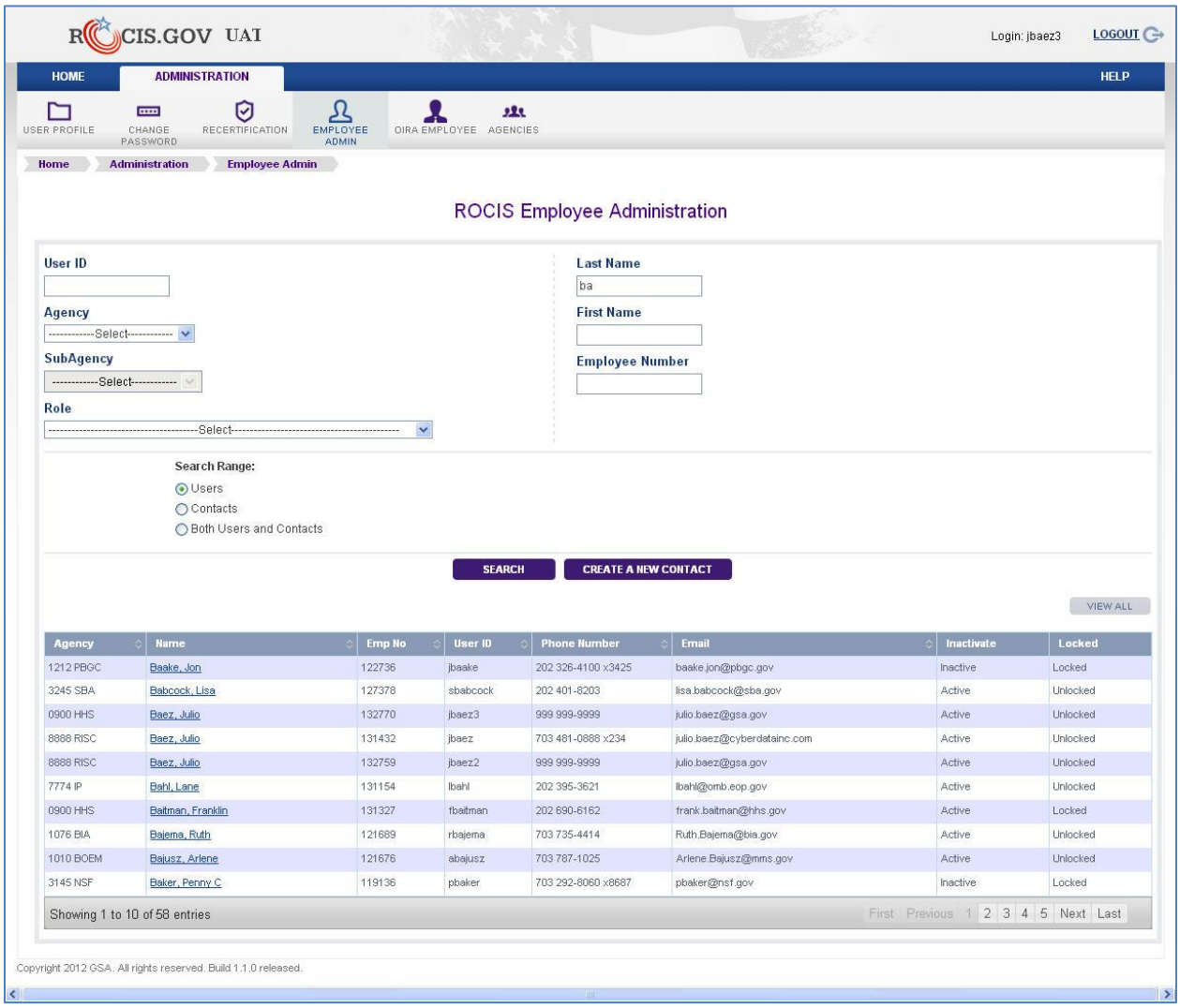


Figure 4.1: Employee Administration Screen

You can also search users by role. Let's assume that you are a RRP and do not have the ability to submit an EO Reg review to OIRA. You have a package that is ready to be submitted, but the person who normally submits for you is out of the office. Since you know that the role with 'submit' privileges is the EORC, you can search for other users at your agency with that role.

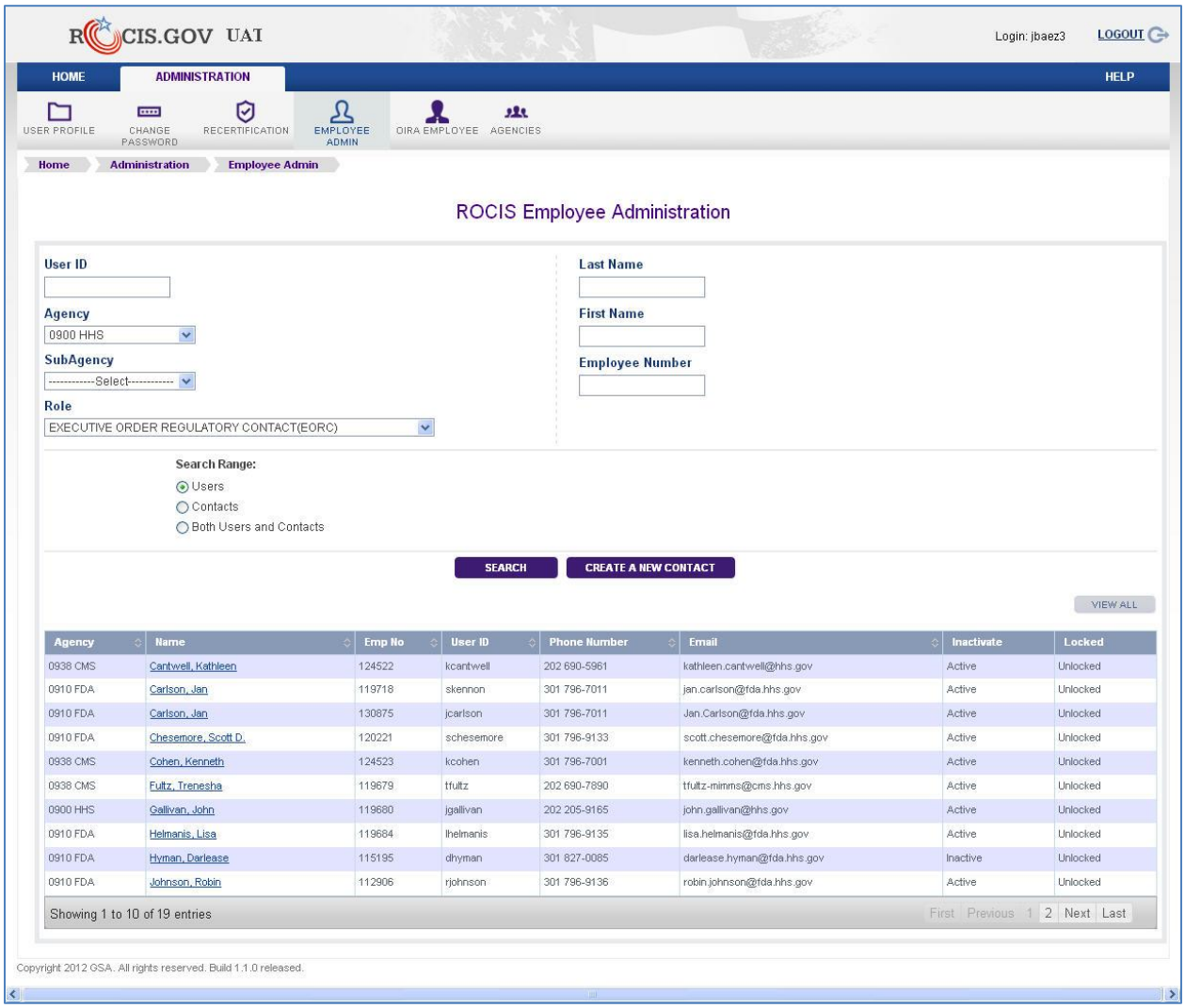


Figure 4.2: Search by Role

If you are the Regulatory Privileges POC for your agency, it is a good idea to periodically check the authorized users for your agency. Simply enter your agency code, select any of the agency EO Reg Review roles (see Appendix A for a complete list) 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. Accounts are never deleted.

5. HOW TO Recertify

Any user acquiring a ROCIS production account must execute a security agreement provided by RISC and return it to the ROCIS security officer. The ROCIS system now requires that users recertify the terms of the security agreement every year.

Approximately two weeks before your security agreement anniversary date, ROCIS will begin to remind you that you will need to recertify. The recertification tab can be found under the Admin tab.

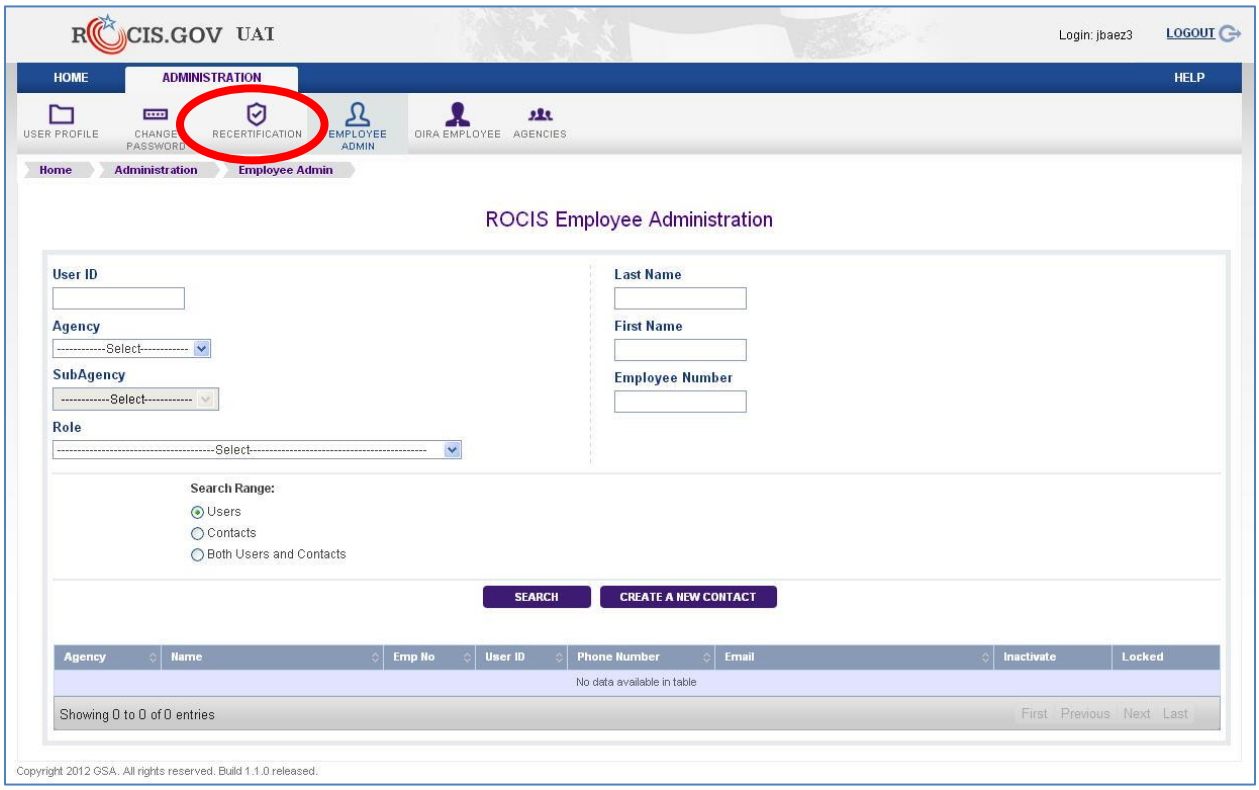
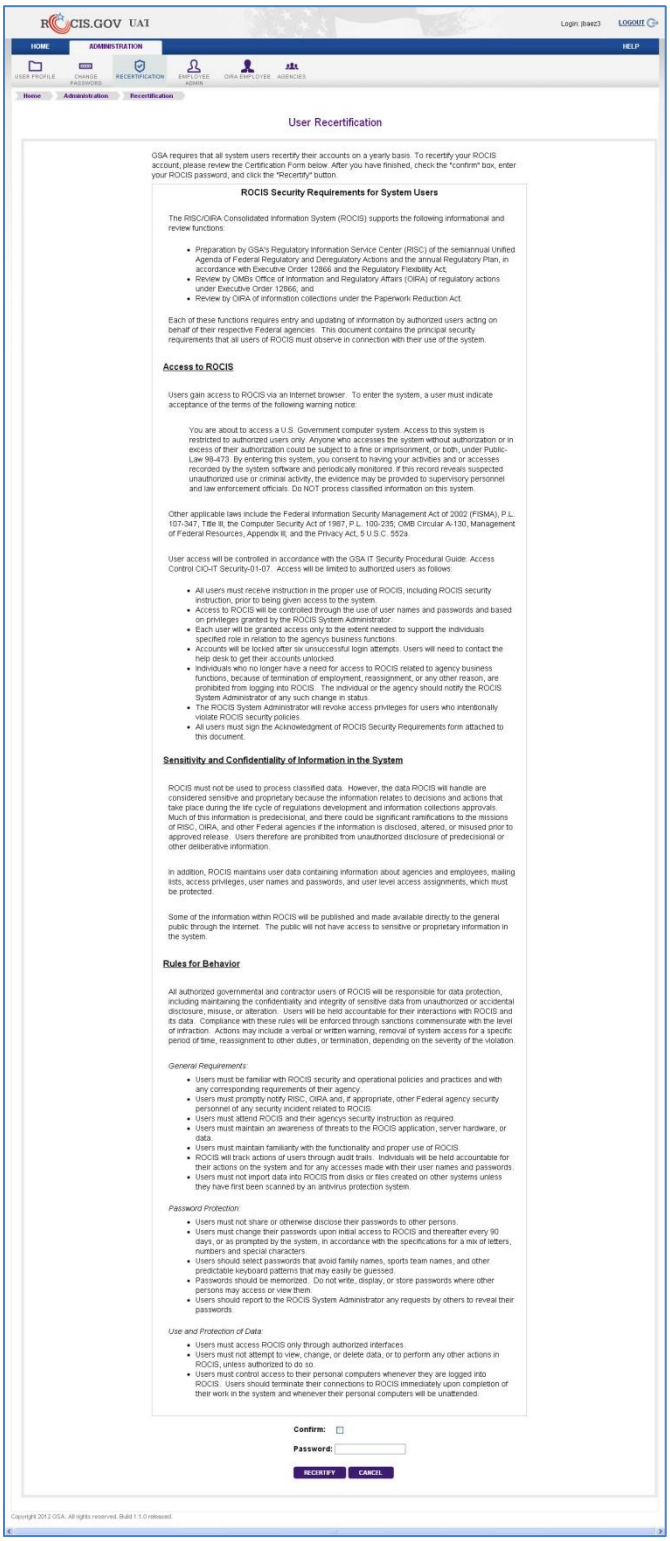


Figure 5.1: Admin Tab with Recertification Option

On the recertification screen, there is a link to the Certification Form. You must click on the link and bring up the document 'ROCIS Security Requirements for System Users'. After reviewing the document, close the document window, check the 'Confirm' box, and enter your current ROCIS password. Then click the Recertify' button. This will reset your certification anniversary date for another year.



ROCIS.GOV UAT

Login: jbaez3 LOGOUT

HOME ADMINISTRATION HELP

USER PROFILE CHANGE PASSWORD RECERTIFICATION EMPLOYEE ADMIN OIRA EMPLOYEE AGENCIES

Home Administration Recertification

User Recertification

GSA requires that all system users recertify their accounts on a yearly basis. To recertify your ROCIS account, please review the Certification Form below. After you have finished, check the "confirm" box, enter your ROCIS password, and click the "Recertify" button.

ROCIS Security Requirements for System Users

The RISC/OIRA Consolidated Information System (ROCIS) supports the following informational and review functions:

- Preparation by GSA's Regulatory Information Service Center (RISC) of the semiannual Unified Agenda of Federal Regulatory and Deregulatory Actions and the annual Regulatory Plan, in accordance with Executive Order 12866 and the Regulatory Flexibility Act;
- Review by OMB's Office of Information and Regulatory Affairs (OIRA) of regulatory actions under Executive Order 12866; and
- Review by OIRA of information collections under the Paperwork Reduction Act.

Each of these functions requires entry and updating of information by authorized users acting on behalf of their respective Federal agencies. This document contains the principal security requirements that all users of ROCIS must observe in connection with their use of the system.

Access to ROCIS

Users gain access to ROCIS via an Internet browser. To enter the system, a user must indicate acceptance of the terms of the following warning notice:

> You are about to access a U.S. Government computer system. Access to this system is restricted to authorized users only. Anyone who accesses the system without authorization or in excess of their authorization could be subject to a fine or imprisonment, or both, under Public-Law 98-473. By entering this system, you consent to having your activities and or accesses recorded by the system software and periodically monitored. If this record reveals suspected unauthorized use or criminal activity, the evidence may be provided to supervisory personnel and law enforcement officials. Do NOT process classified information on this system.

Other applicable laws include the Federal Information Security Management Act of 2002 (FISMA), P.L. 107-347, Title III; the Computer Security Act of 1987, P.L. 100-235; OMB Circular A-130, Management of Federal Resources, Appendix III; and the Privacy Act, 5 U.S.C. 552a.

User access will be controlled in accordance with the GSA IT Security Procedural Guide: Access Control CIO-IT Security-01-07. Access will be limited to authorized users as follows:

- All users must receive instruction in the proper use of ROCIS, including ROCIS security instruction, prior to being given access to the system.
- Access to ROCIS will be controlled through the use of user names and passwords and based on privileges granted by the ROCIS System Administrator.
- Each user will be granted access only to the extent needed to support the individuals specified role in relation to the agency's business functions.
- Accounts will be locked after six unsuccessful login attempts. Users will need to contact the help desk to get their accounts unlocked.
- Individuals who no longer have a need for access to ROCIS related to agency business functions, because of termination of employment, reassignment, or any other reason, are prohibited from logging into ROCIS. The individual or the agency should notify the ROCIS System Administrator of any such change in status.
- The ROCIS System Administrator will revoke access privileges for users who intentionally violate ROCIS security policies.
- All users must sign the Acknowledgment of ROCIS Security Requirements form attached to this document.

Sensitivity and Confidentiality of Information in the System

ROCIS must not be used to process classified data. However, the data ROCIS will handle are considered sensitive and proprietary because the information relates to decisions and actions that take place during the life cycle of regulations development and information collections approvals. Much of this information is predecisional, and there could be significant ramifications to the missions of RISC, OIRA, and other Federal agencies if the information is disclosed, altered, or misused prior to approved release. Users therefore are prohibited from unauthorized disclosure of predecisional or other deliberative information.

In addition, ROCIS maintains user data containing information about agencies and employees, mailing lists, access privileges, user names and passwords, and user level access assignments, which must be protected.

Some of the information within ROCIS will be published and made available directly to the general public through the Internet. The public will not 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. 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 must be familiar with ROCIS security and operational policies and practices and with any corresponding requirements of their agency.
- Users must promptly notify RISC, OIRA and, if appropriate, other Federal agency security personnel of any security incident related to ROCIS.
- Users must attend ROCIS 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 must not import data into ROCIS from disks or files created on other systems unless they have first been scanned by an antivirus protection system.

Password Protection:

- Users must not share or otherwise disclose their passwords to other persons.
- Users must change their passwords upon initial access to ROCIS and thereafter every 90 days, or as prompted by the system, in accordance with the specifications for a mix of letters, numbers and special characters.
- Users should select passwords that avoid family names, sports team names, and other predictable keyboard patterns that may easily be guessed.
- Passwords should be memorized. Do not write, display, or store passwords where other persons may access or view them.
- Users should report to the ROCIS System Administrator any requests by others to reveal their passwords.

Use and Protection of Data:

- Users must access ROCIS only through authorized interfaces.
- Users must 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.

Confirm: ☐

Password:

RECERTIFY CANCEL

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Figure 5.2: User Recertification Screen

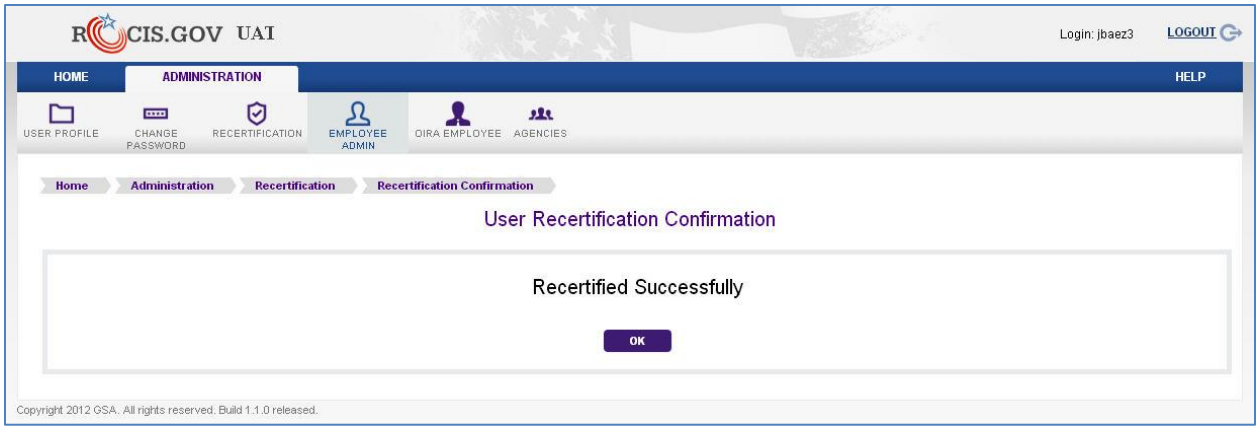


Figure 5.3: Recertification Confirmation Screen

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

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

6. Creating an EO Reg 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' tab 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.

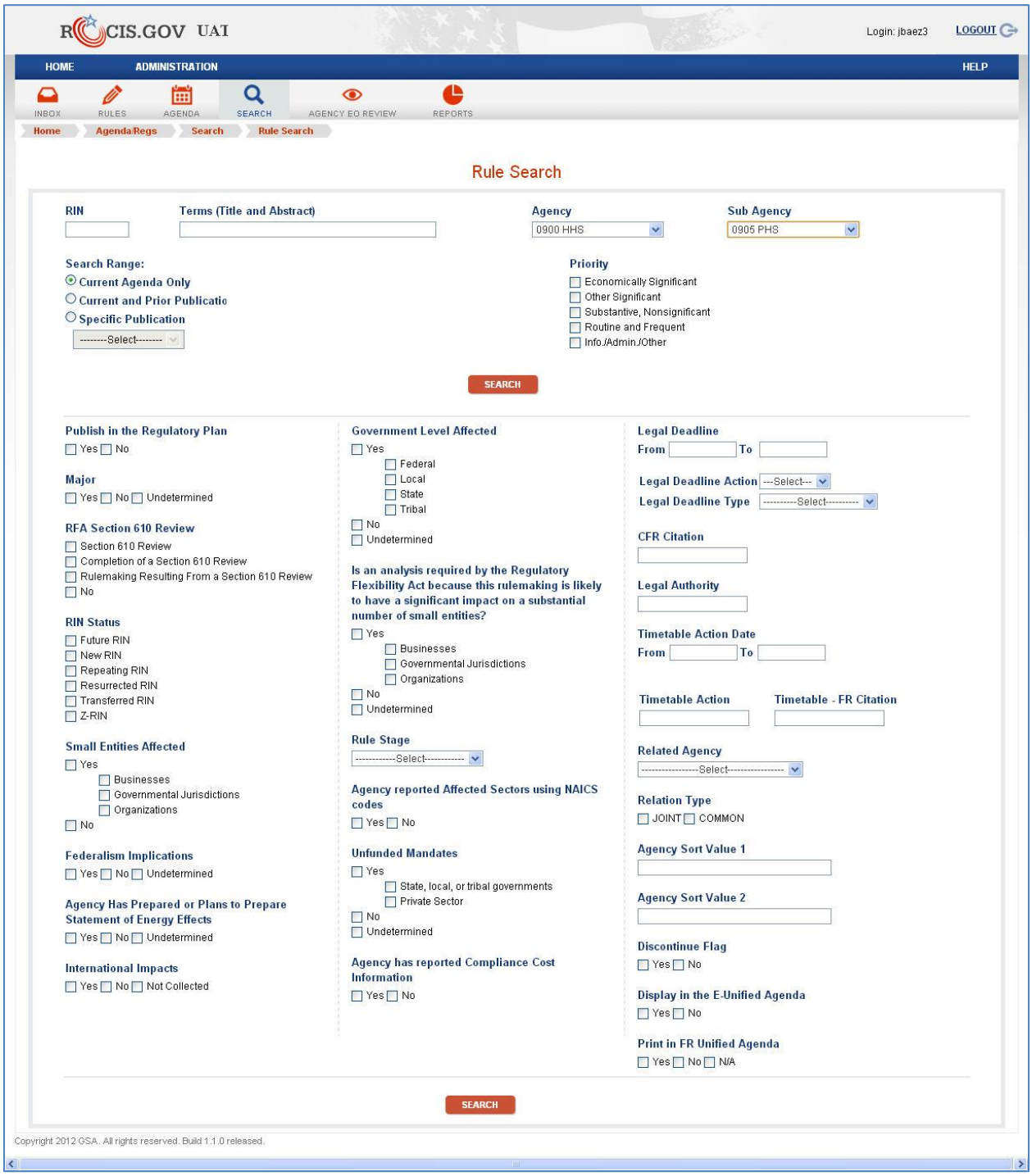


Figure 6.1: Rule Search Screen

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.

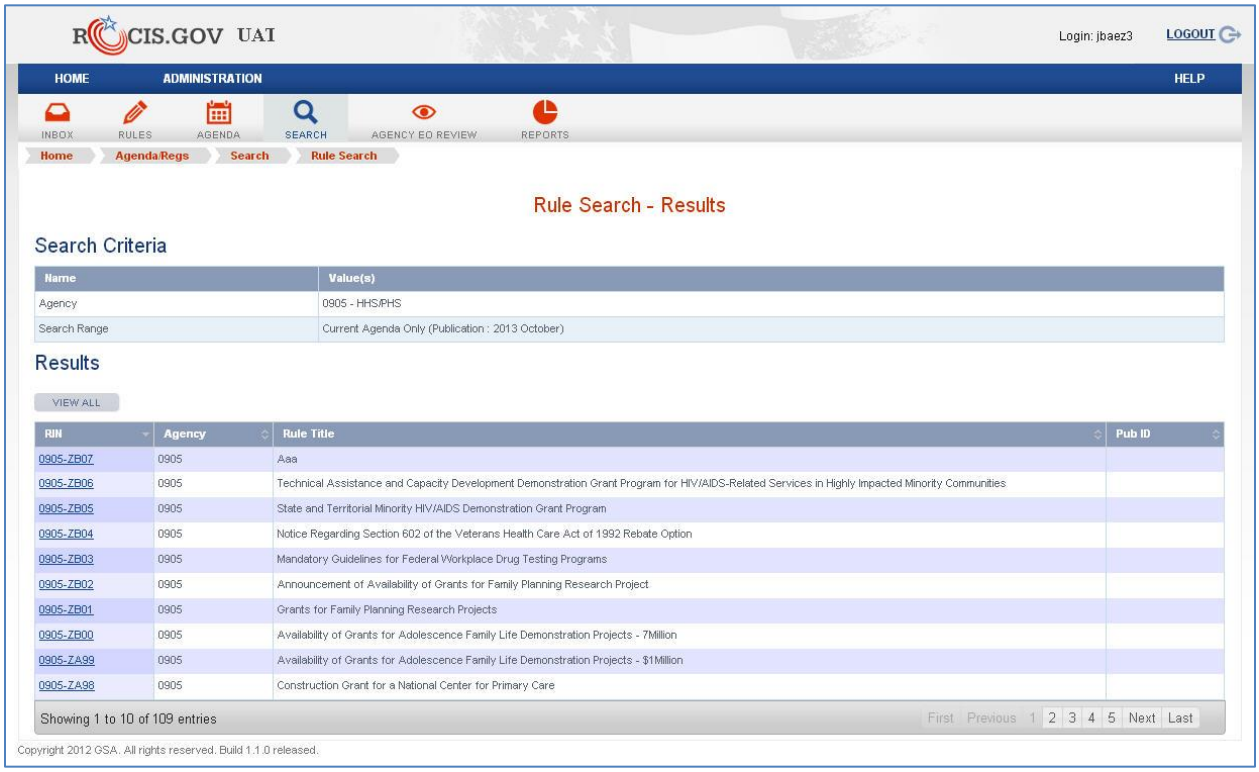


Figure 6.2: Rule Search Results

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.

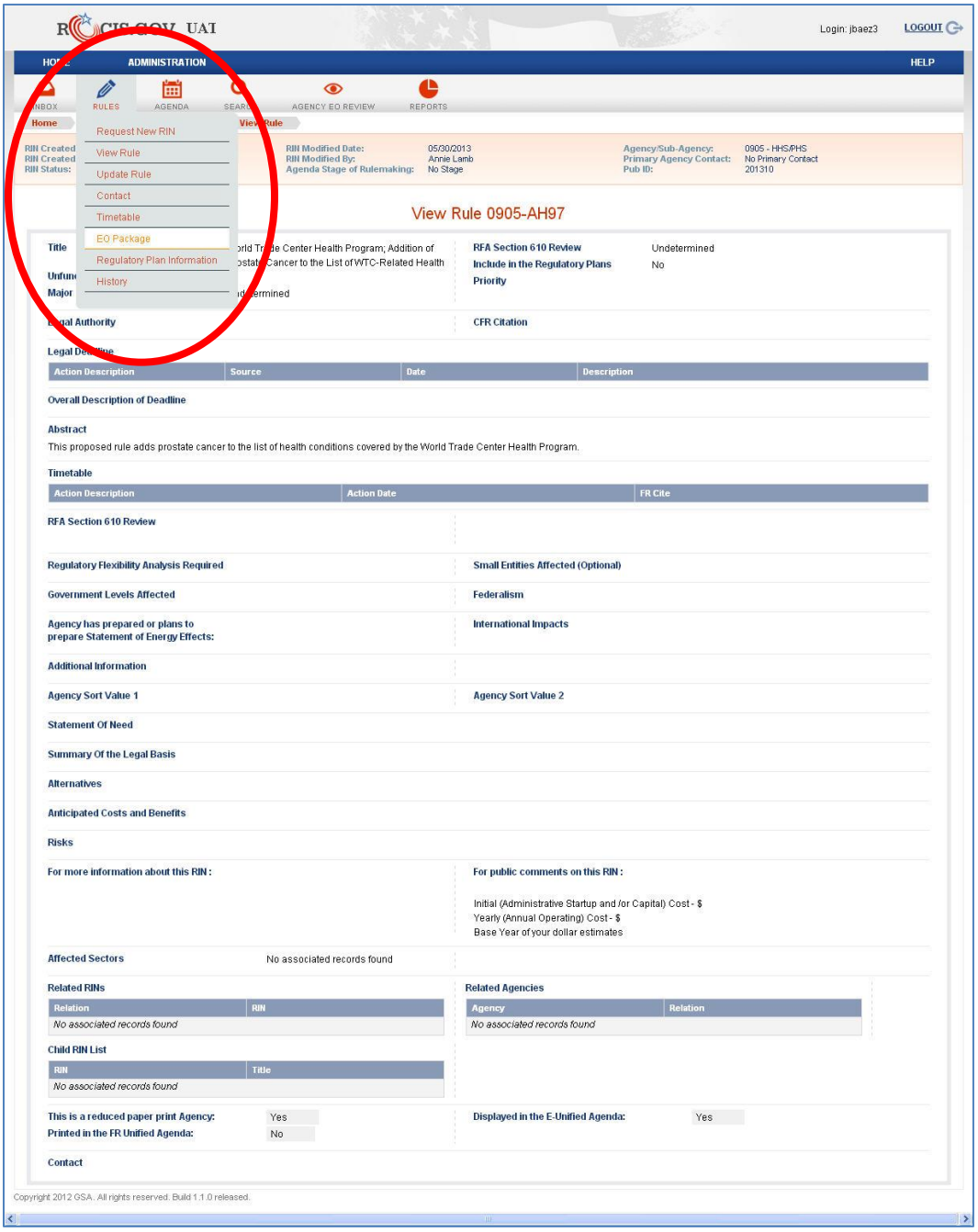


Figure 6.3: View Rule Screen

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.

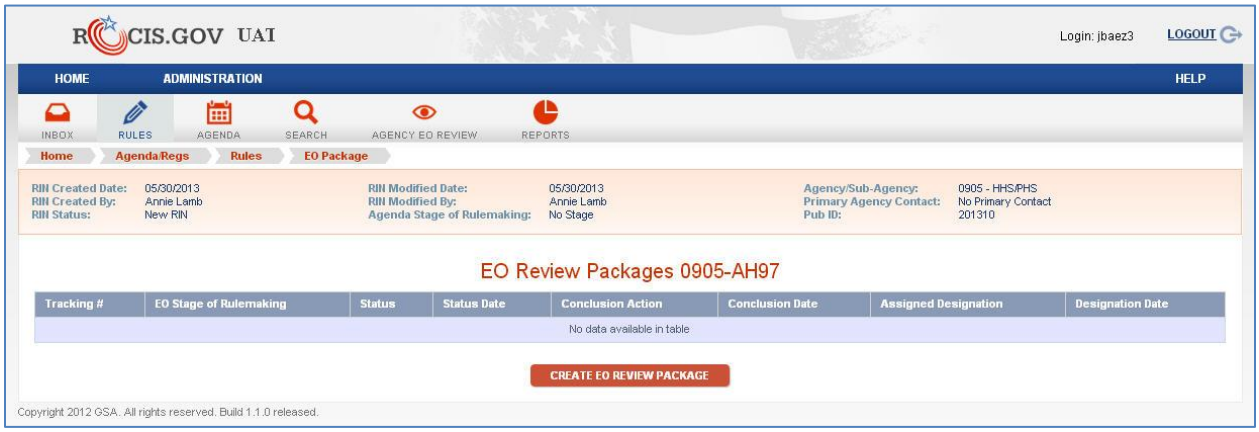


Figure 6.4: EO Review Package Screen with 'Create' button

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.

The arrows and bar on the right hand side of the screen indicate that there is more information below. The arrows can be used to scroll up and down.

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

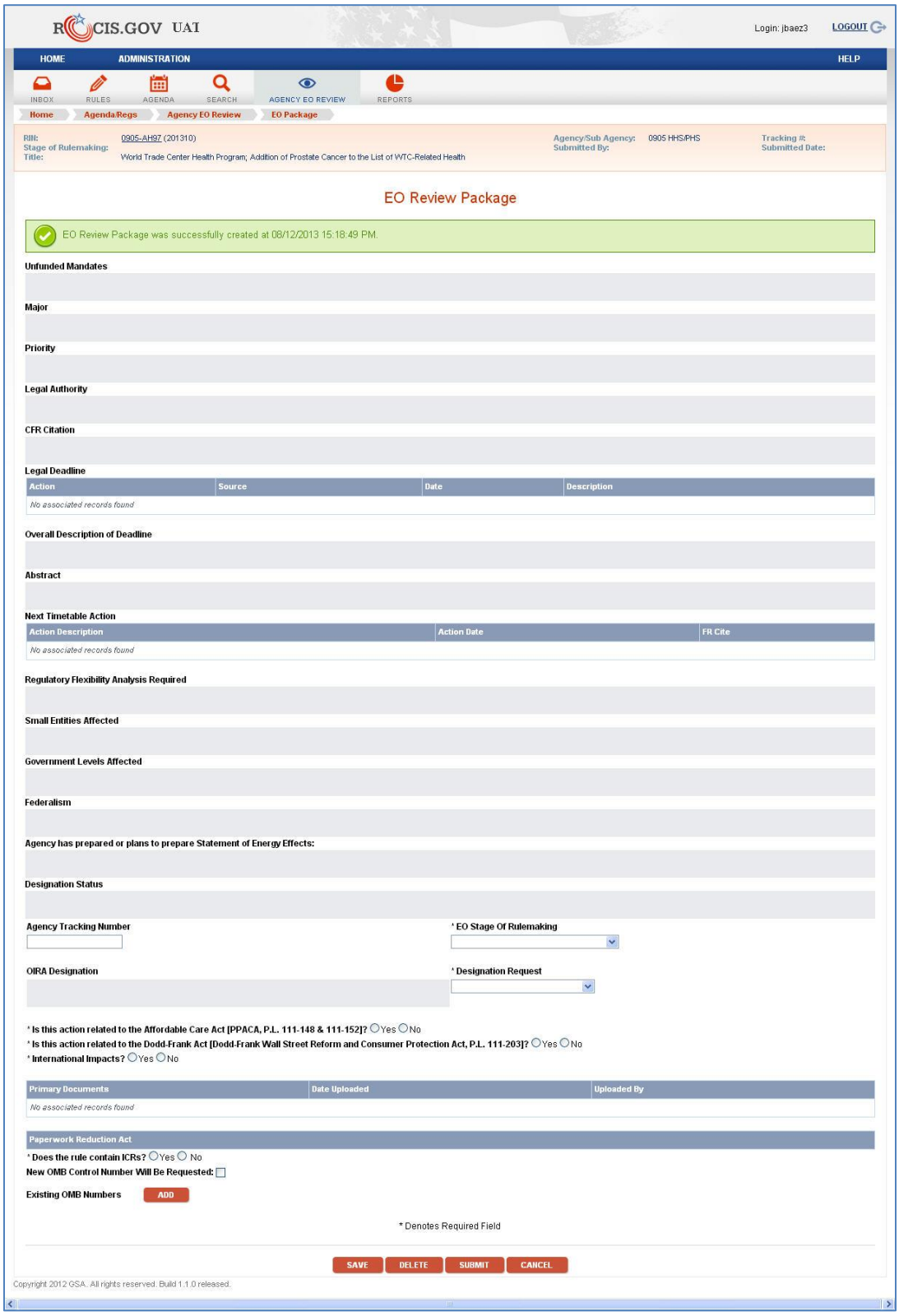


Figure 6.5: EO Review Package Screen

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.

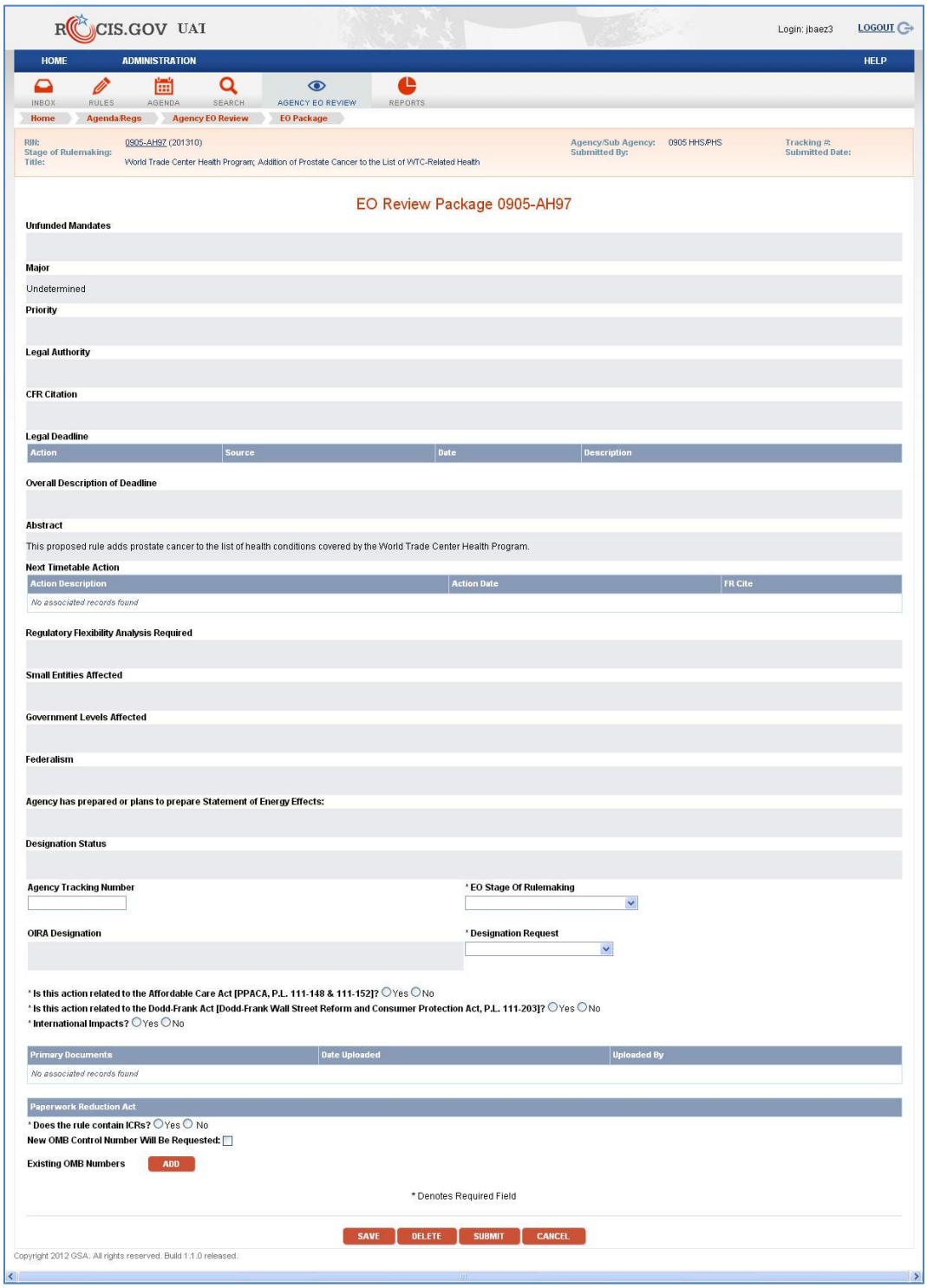


Figure 6.8: EO Package Screen

7. Using Your Inbox

ROCIS provides all users with an Inbox for tracking the progress of EO Reg Review requests. The inbox is divided into four sections, each of which is discussed below. Note the tab for the inbox on the top row of tabs. 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. Clicking the column heading a second time will result in a reversal of the sort order from the first sort.

The first section of the Inbox is the 'unsubmitted' list. This list reflects all of the created EO Reg review packages for any agency/sub agency that you have access to, regardless of who created them. Once an EO package is created, it will remain in the unsubmitted list until it is submitted to OIRA or deleted from ROCIS.

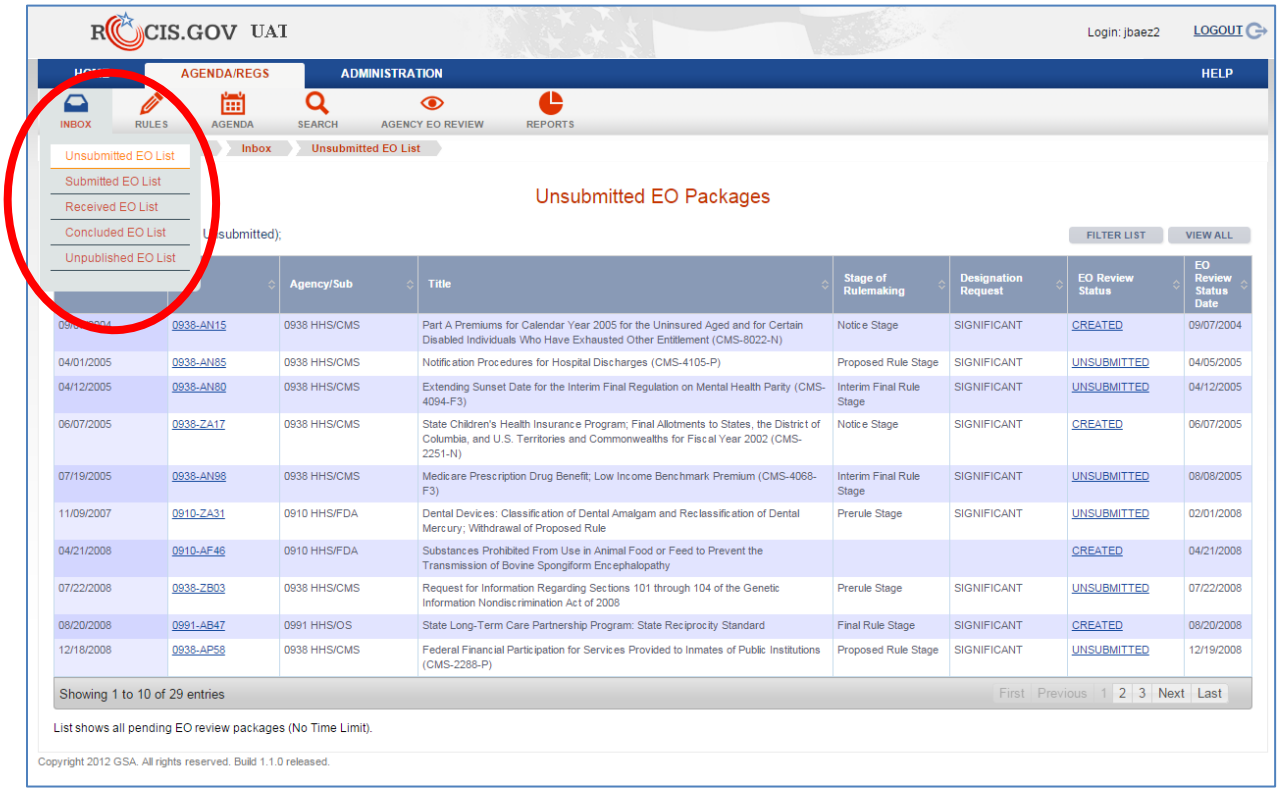


Figure 7.1: 'Unsubmitted' Inbox List

The next section of the Inbox is the 'Submitted List', which you can move to by selecting the "Submitted EO List" item from the Inbox menu. This list shows EO Reg Review packages that have been submitted to OIRA, but are not yet 'received'.

Submissions will normally remain in the submitted box for two business days. After that, they will become automatically received, provided an OIRA desk officer does not intervene. Once

the submission is received, it will be reflected in your 'Received' inbox. It will also appear on the ROCIS webpage www.reginfo.gov as a pending review.

An OIRA desk officer has the ability to override this process in two ways. While a request is in a submitted status, the desk officer can delay the request. The status will then be 'delay' (this action will be reflected in the in the submitted list if it occurs). The desk officer would then get in touch with your agency contact to discuss how to proceed with the review.

The desk officer can also eliminate the two day waiting period and accept the submission immediately.

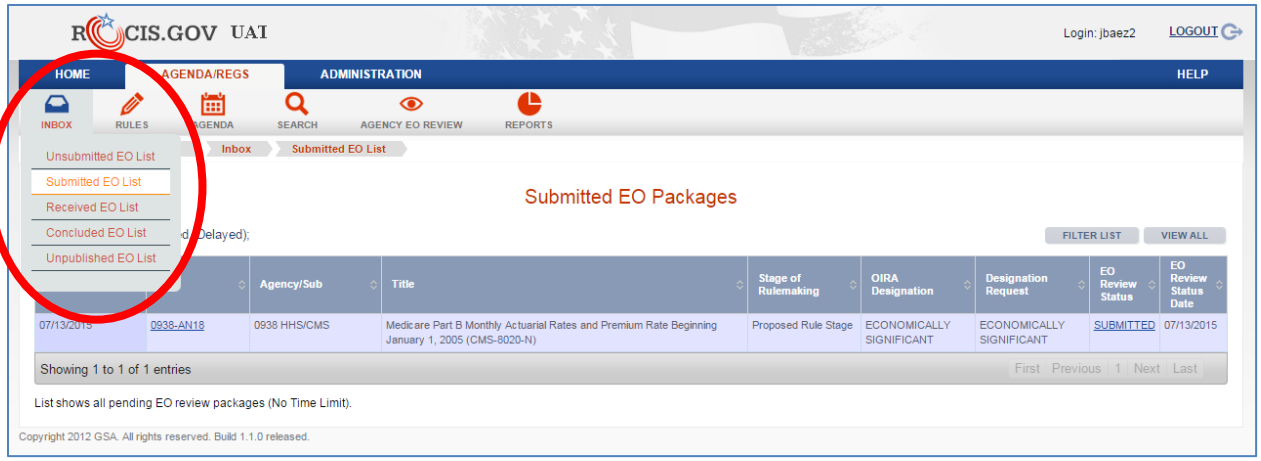
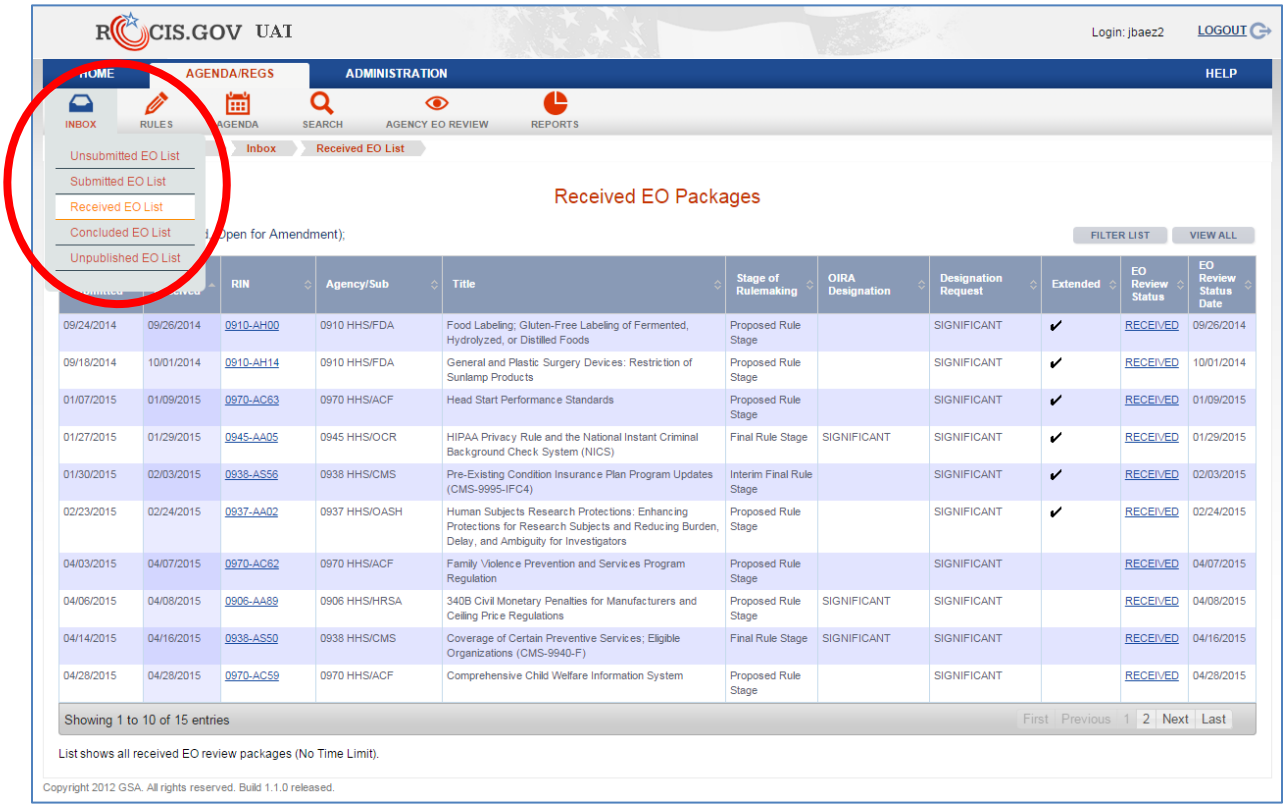


Figure 7.2: 'Submitted' Inbox List

The third section of your Inbox is the 'Received' list. This list shows those requests that are currently under review at OIRA. Your request will remain in the 'Received' list until the review is concluded.



Submitted	Received	RIN	Agency/Sub	Title	Stage of Rulemaking	OIRA Designation	Designation Request	Extended	EO Review Status	EO Review Status Date
09/24/2014	09/26/2014	0910-AH00	0910 HHS/FDA	Food Labeling; Gluten-Free Labeling of Fermented, Hydrolyzed, or Distilled Foods	Proposed Rule Stage		SIGNIFICANT	✔	RECEIVED	09/26/2014
09/18/2014	10/01/2014	0910-AH14	0910 HHS/FDA	General and Plastic Surgery Devices: Restriction of Sunlamp Products	Proposed Rule Stage		SIGNIFICANT	✔	RECEIVED	10/01/2014
01/07/2015	01/09/2015	0970-AC63	0970 HHS/ACF	Head Start Performance Standards	Proposed Rule Stage		SIGNIFICANT	✔	RECEIVED	01/09/2015
01/27/2015	01/29/2015	0945-AA05	0945 HHS/OCR	HIPAA Privacy Rule and the National Instant Criminal Background Check System (NICS)	Final Rule Stage	SIGNIFICANT	SIGNIFICANT	✔	RECEIVED	01/29/2015
01/30/2015	02/03/2015	0938-AS56	0938 HHS/CMS	Pre-Existing Condition Insurance Plan Program Updates (CMS-9995-IFC4)	Interim Final Rule Stage		SIGNIFICANT	✔	RECEIVED	02/03/2015
02/23/2015	02/24/2015	0937-AA02	0937 HHS/OASH	Human Subjects Research Protections: Enhancing Protections for Research Subjects and Reducing Burden, Delay, and Ambiguity for Investigators	Proposed Rule Stage		SIGNIFICANT	✔	RECEIVED	02/24/2015
04/03/2015	04/07/2015	0970-AC62	0970 HHS/ACF	Family Violence Prevention and Services Program Regulation	Proposed Rule Stage		SIGNIFICANT		RECEIVED	04/07/2015
04/06/2015	04/08/2015	0906-AA89	0906 HHS/HRSA	340B Civil Monetary Penalties for Manufacturers and Ceiling Price Regulations	Proposed Rule Stage	SIGNIFICANT	SIGNIFICANT		RECEIVED	04/08/2015
04/14/2015	04/16/2015	0938-AS50	0938 HHS/CMS	Coverage of Certain Preventive Services; Eligible Organizations (CMS-9940-F)	Final Rule Stage	SIGNIFICANT	SIGNIFICANT		RECEIVED	04/16/2015
04/28/2015	04/28/2015	0970-AC59	0970 HHS/ACF	Comprehensive Child Welfare Information System	Proposed Rule Stage		SIGNIFICANT		RECEIVED	04/28/2015

Figure 7.3: 'Received' Inbox List

The fourth section of your Inbox is the 'Concluded' list. Once OIRA concludes the review, your request will automatically be transferred to your Concluded inbox, where it will remain for 30 days. After that, it will no longer be accessible through the concluded list, but it can be located through the EO Reg Review 'Search' facility.

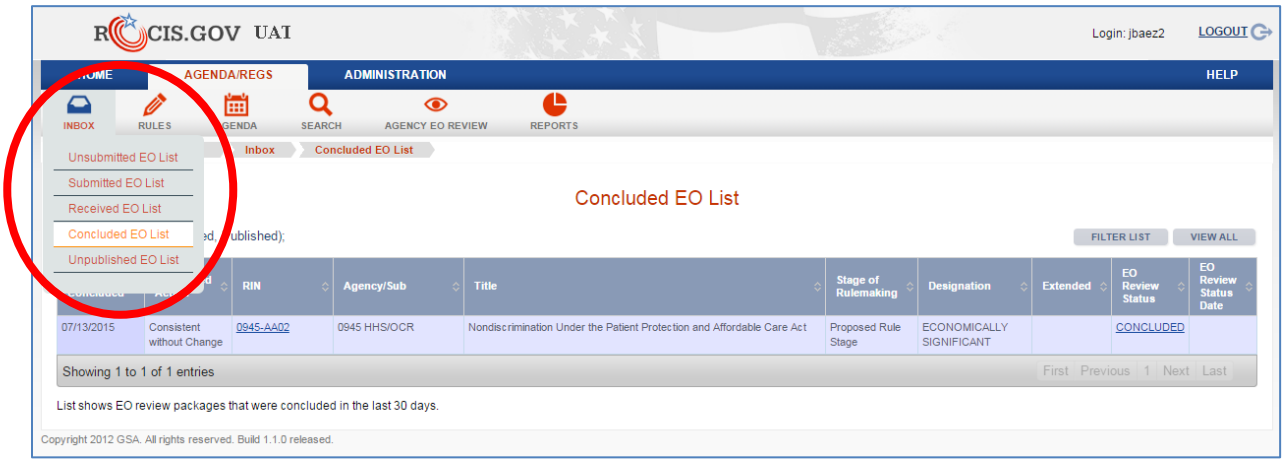


Figure 7.4: 'Concluded' Inbox List

The final section of your Inbox is the 'Unpublished' list. 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.

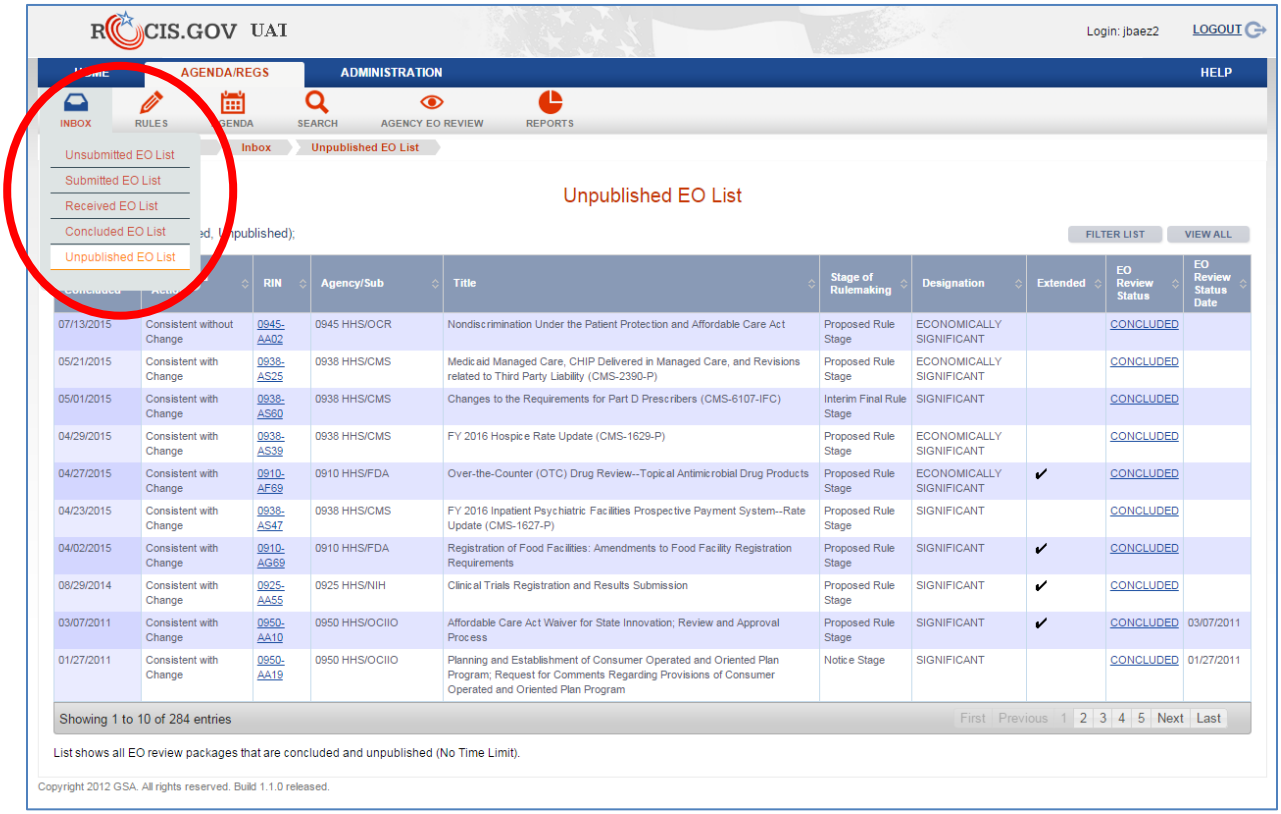


Figure 7.5: 'Unpublished' Inbox List

8. Locating an Existing EO Reg Review Package

Chapter 6 discussed how to create an EO Review package. Chapter 7 covered 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.

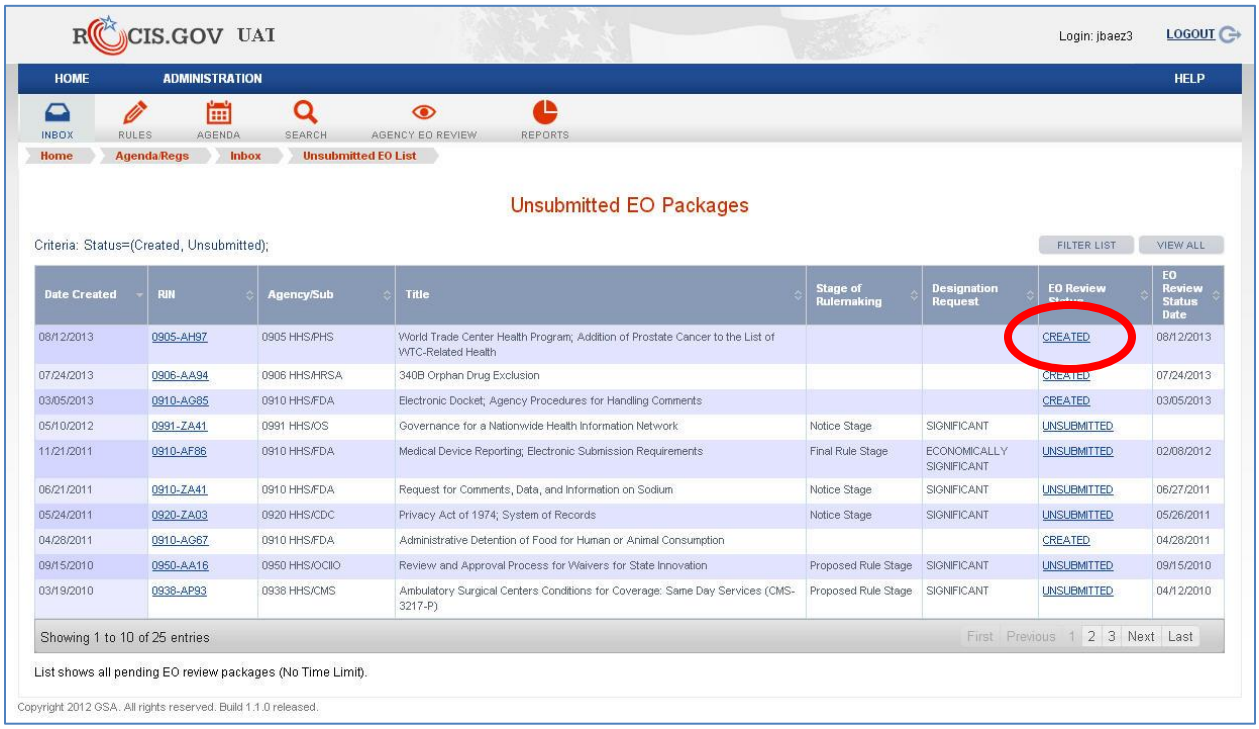


Figure 8.1: 'Unsubmitted' List with EO Package Selected

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'.

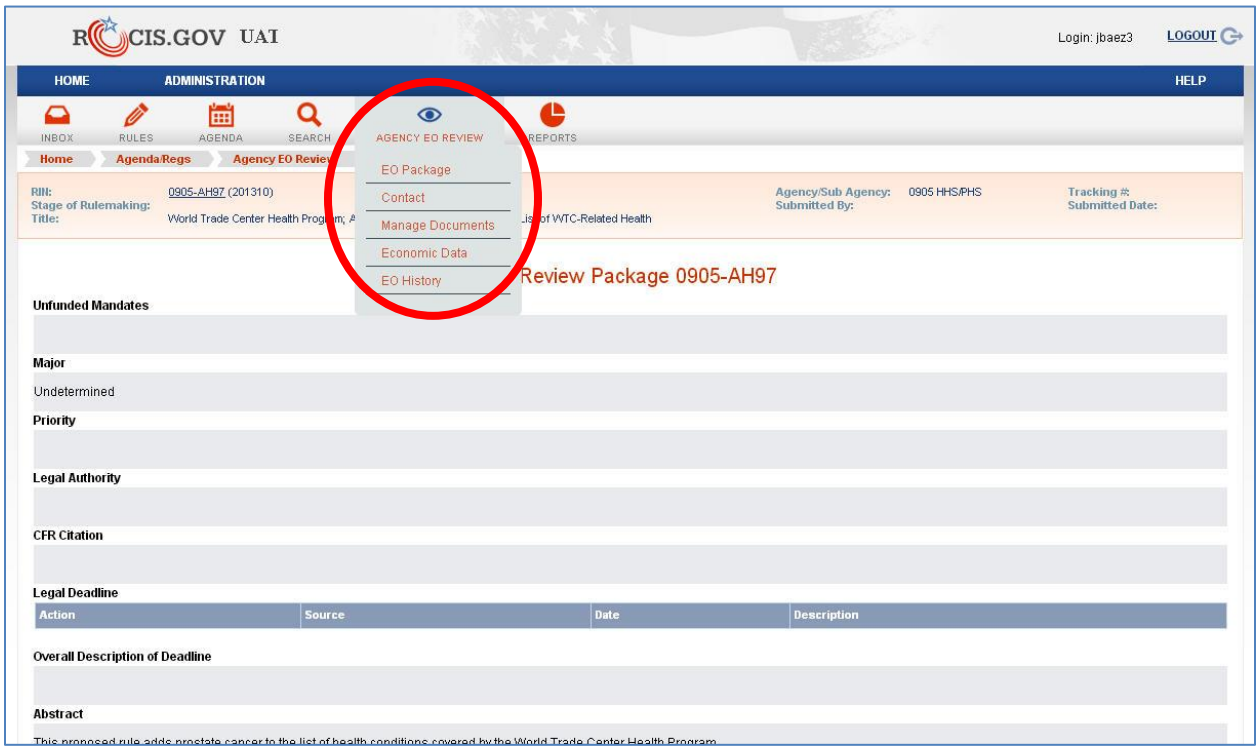


Figure 8.2: EO Package Screen with Update Tasks

9. Adding a 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.

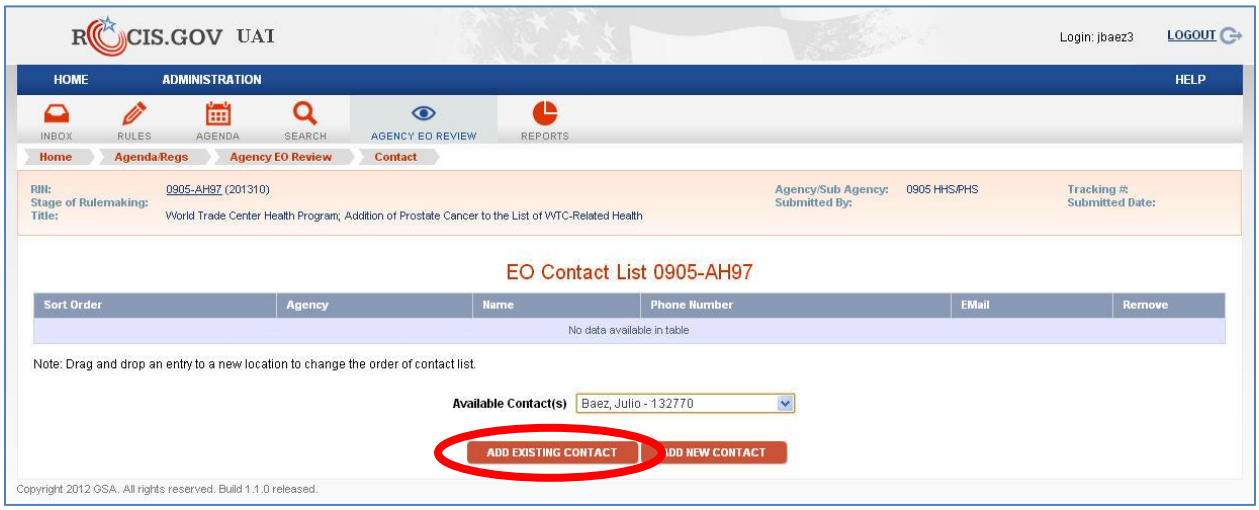


Figure 9.1: Contact Screen

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 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.

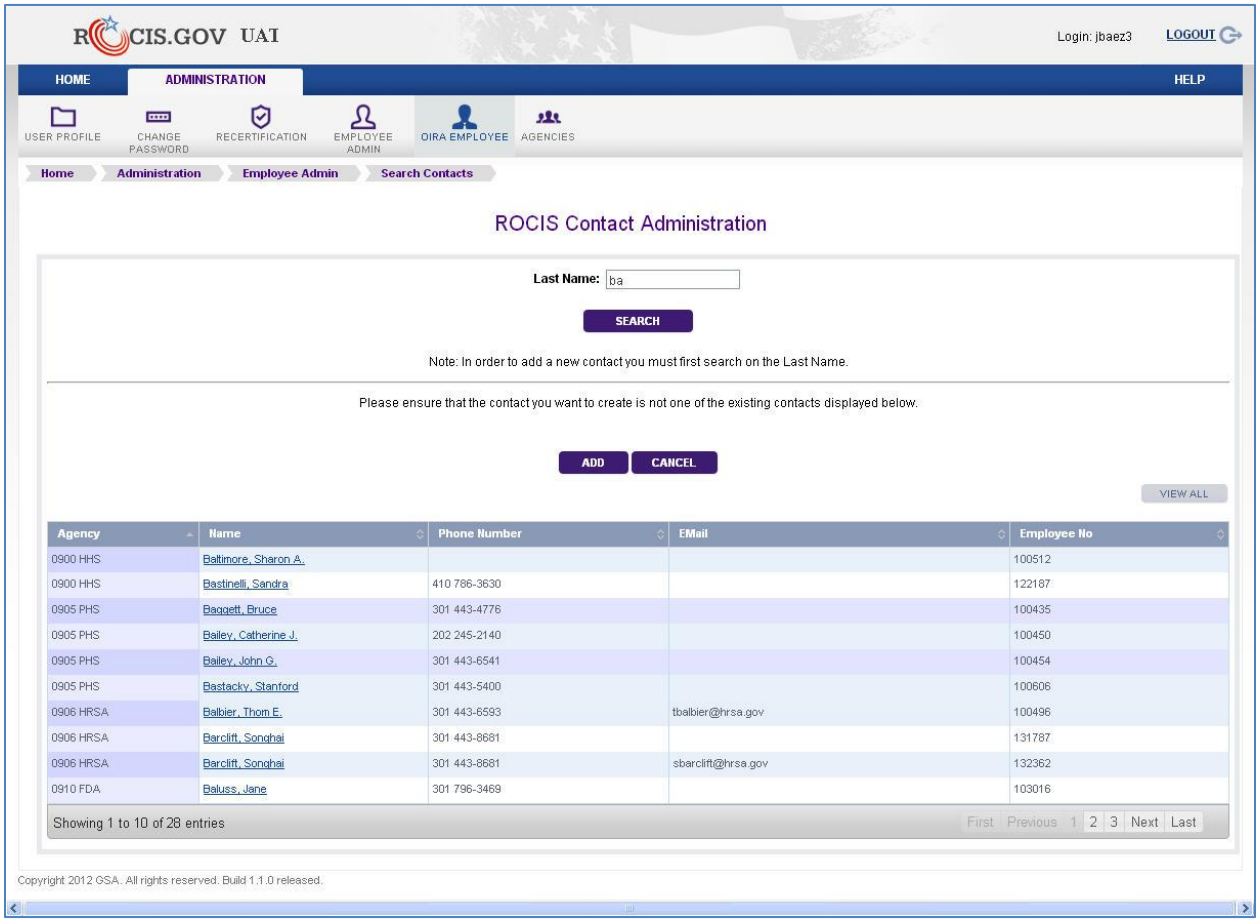


Figure 9.2: Contact List Search Result

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

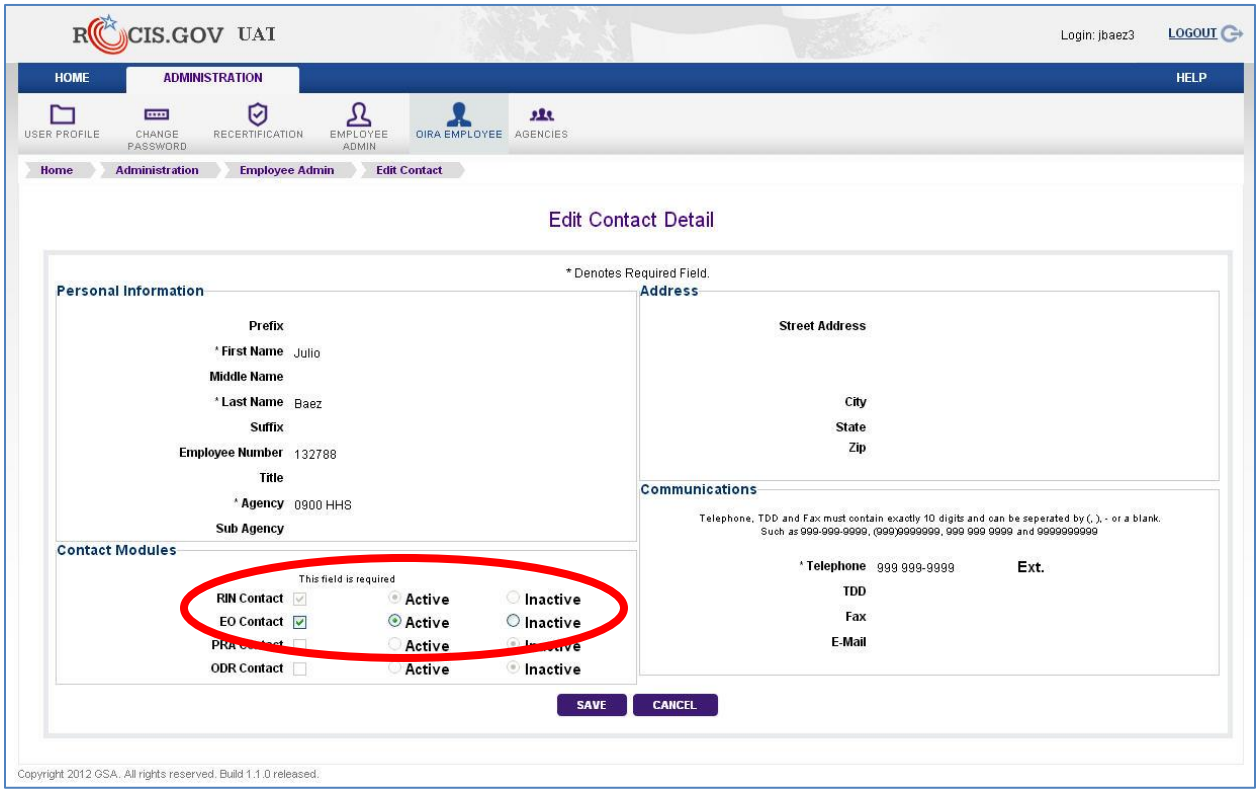


Figure 9.3: Contact Screen for Existing Contact

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.

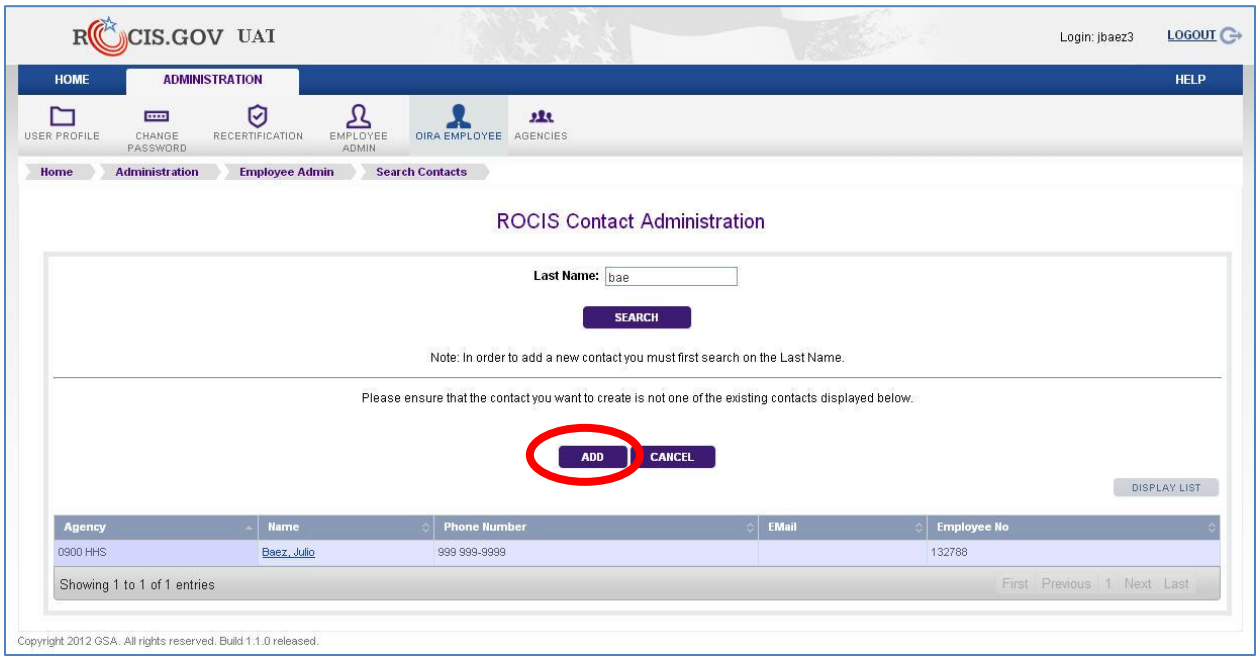


Figure 9.4: Contact Screen with 'Add' highlighted

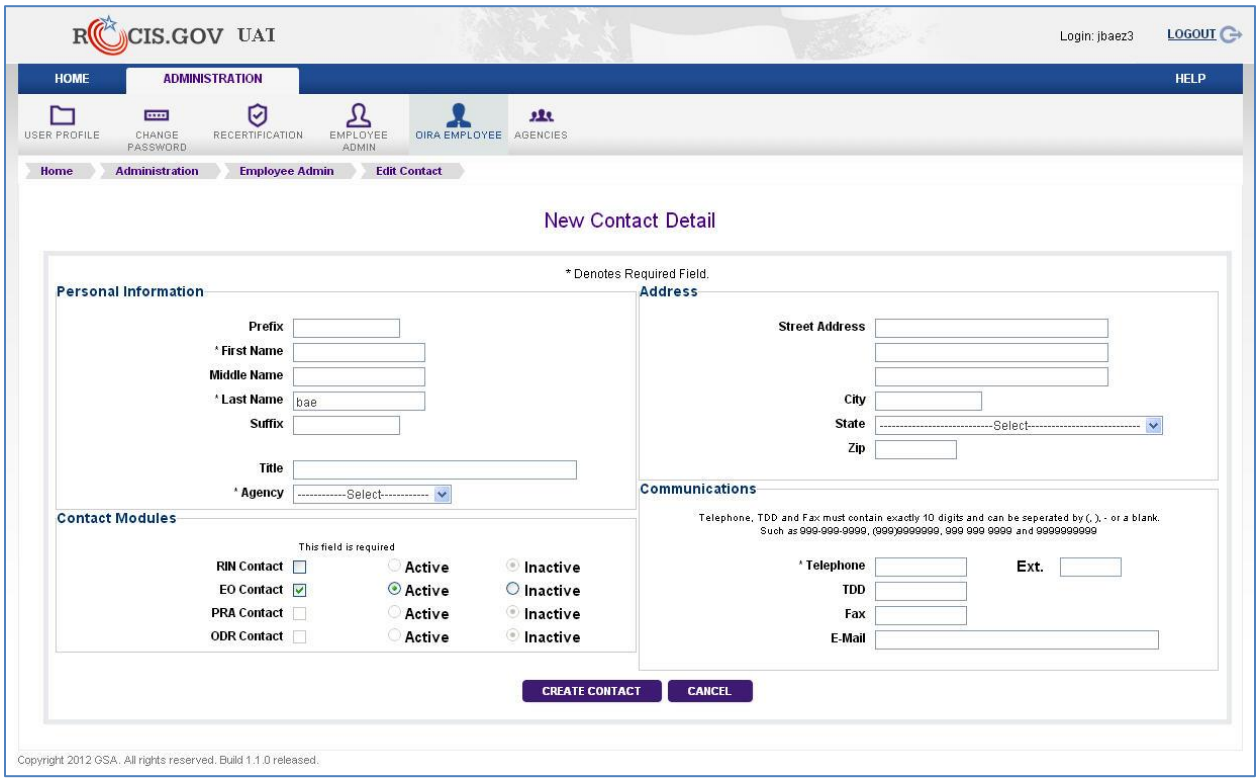


Figure 9.5: New Contact Screen

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 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' tab to move to the new item required for the EO review package.

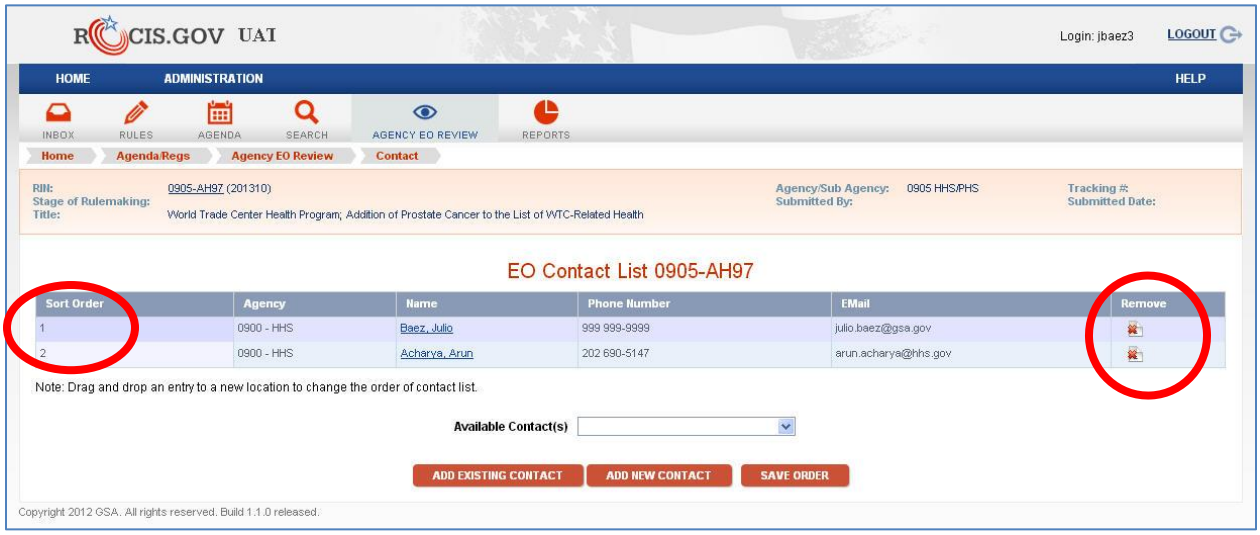


Figure 9.6: Completed EO Contact List

10. HOW TO Electronically Attach (Upload) EO REG Review Documents

To upload (electronically attach) the required documents, move to the 'EO Package' line of tabs and select 'Manage Documents'.

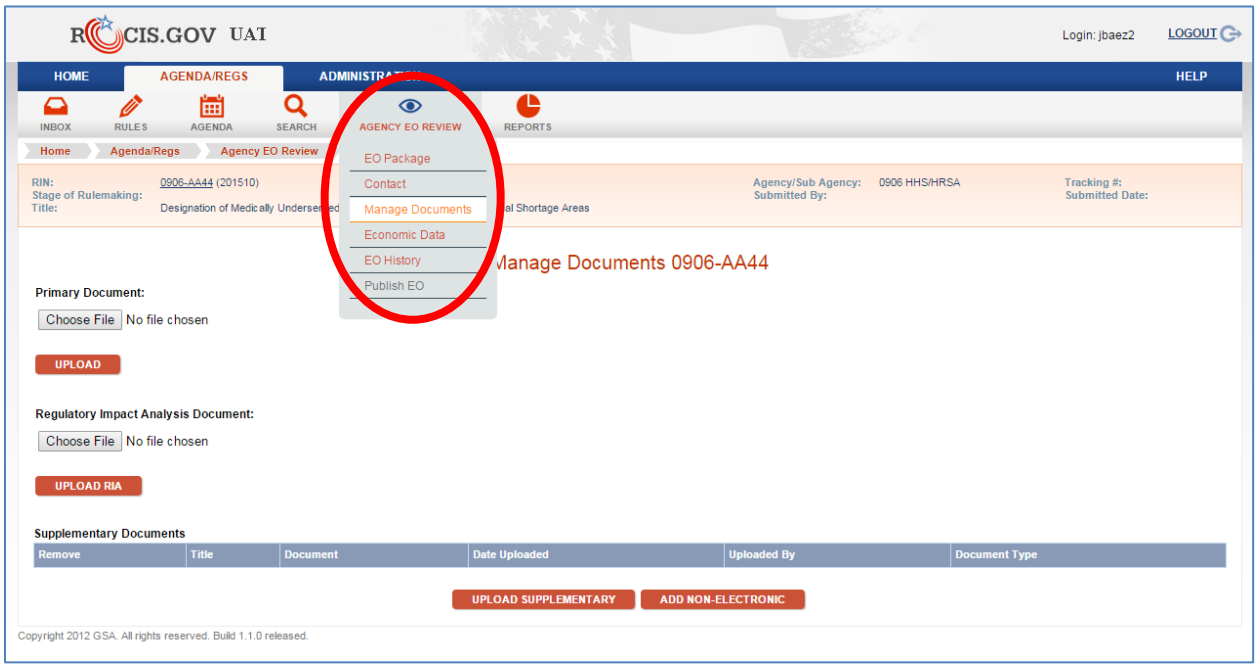


Figure 10.1: Manage Documents Screen

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.

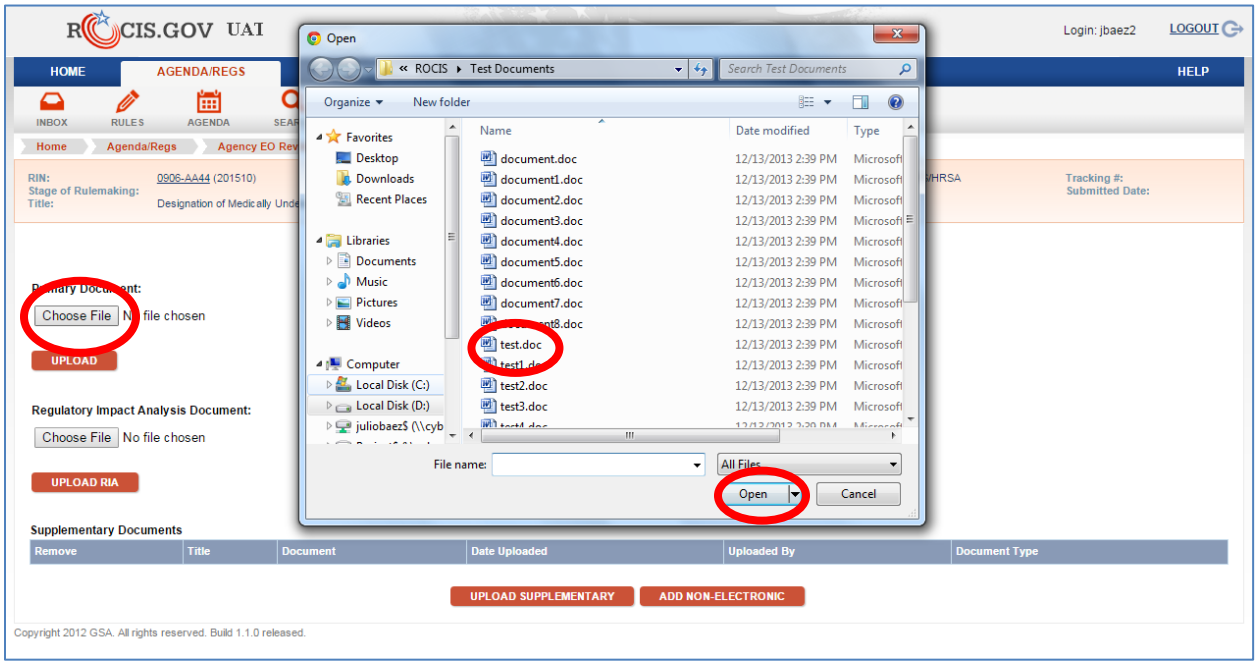


Figure 10.2: Upload Document Pop-up Screen with File Selected and Open Button

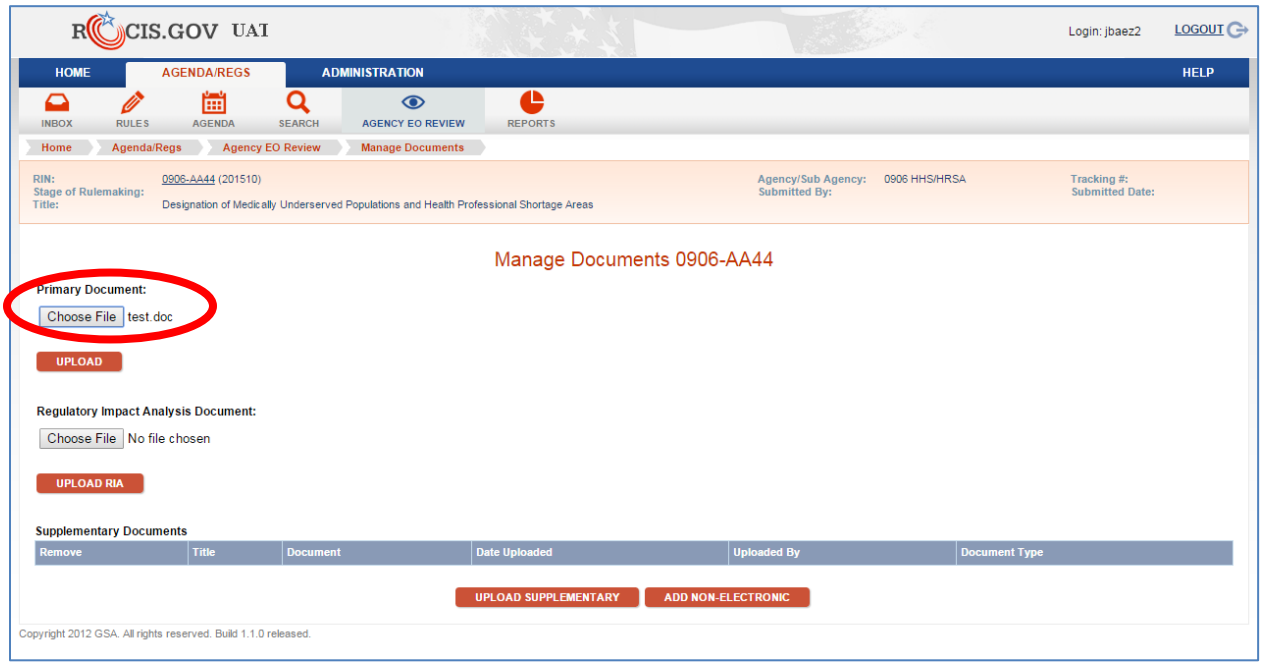


Figure 10.3: Path to Selected Document

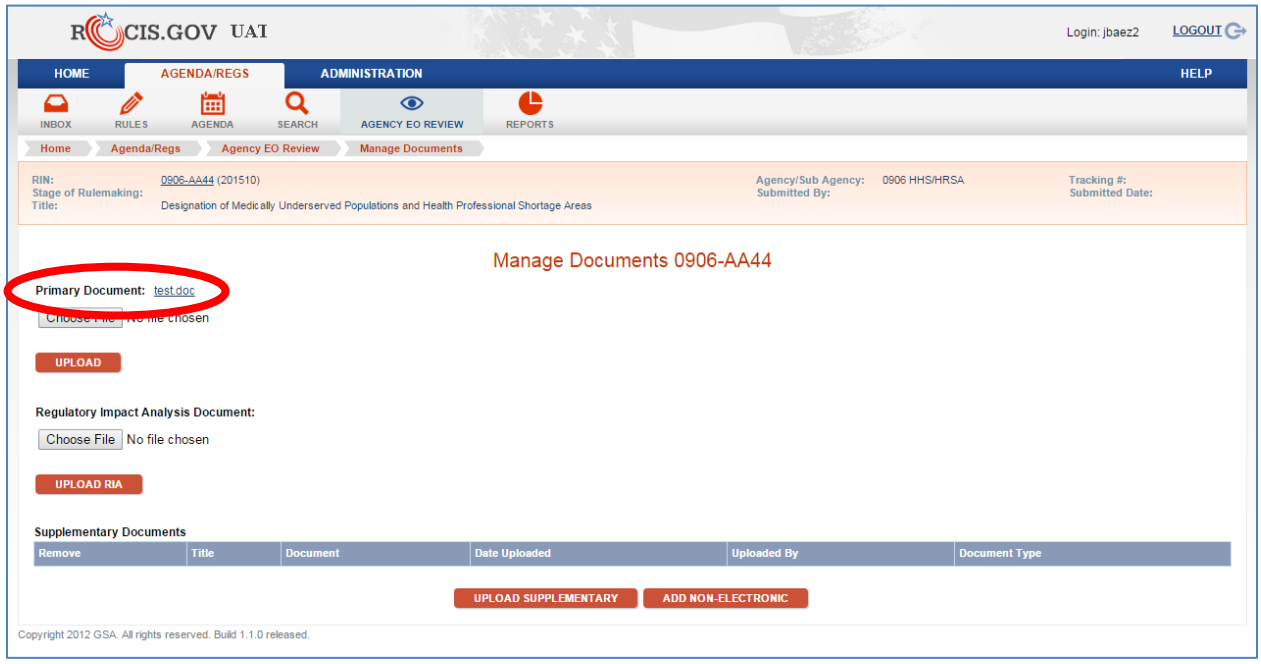


Figure 10.4: Manage Document Screen with Primary Document Uploaded

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.

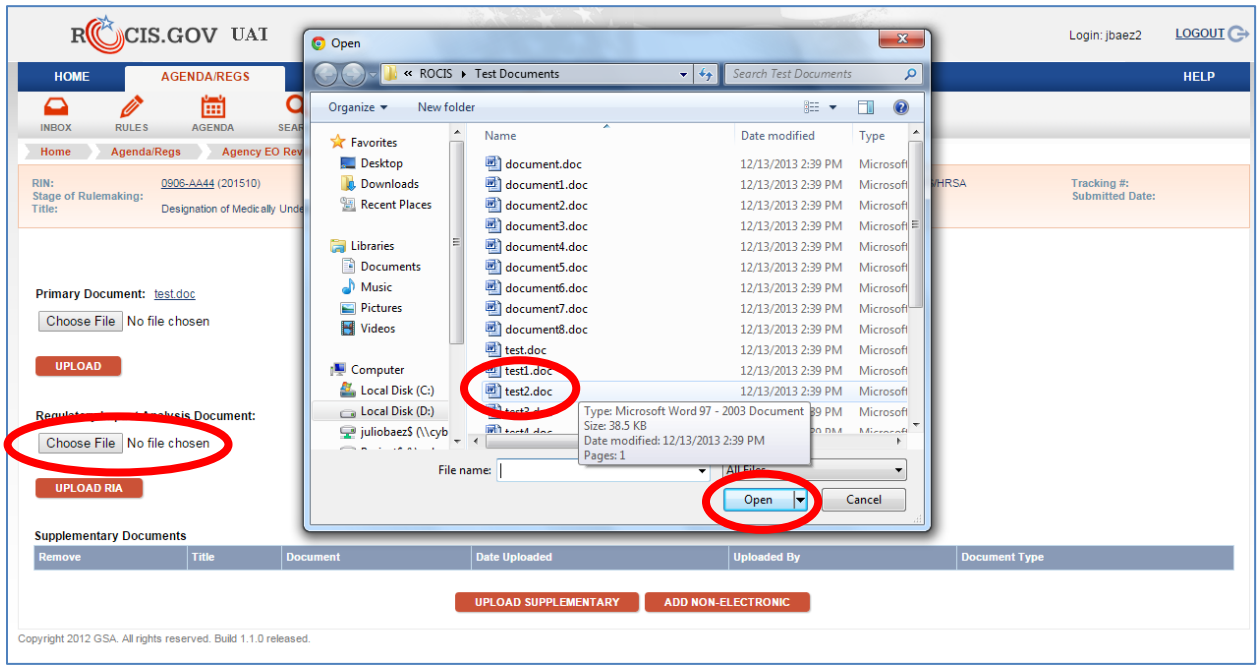


Figure 10.5: Upload Document Pop-up Screen with File Selected and Open Button

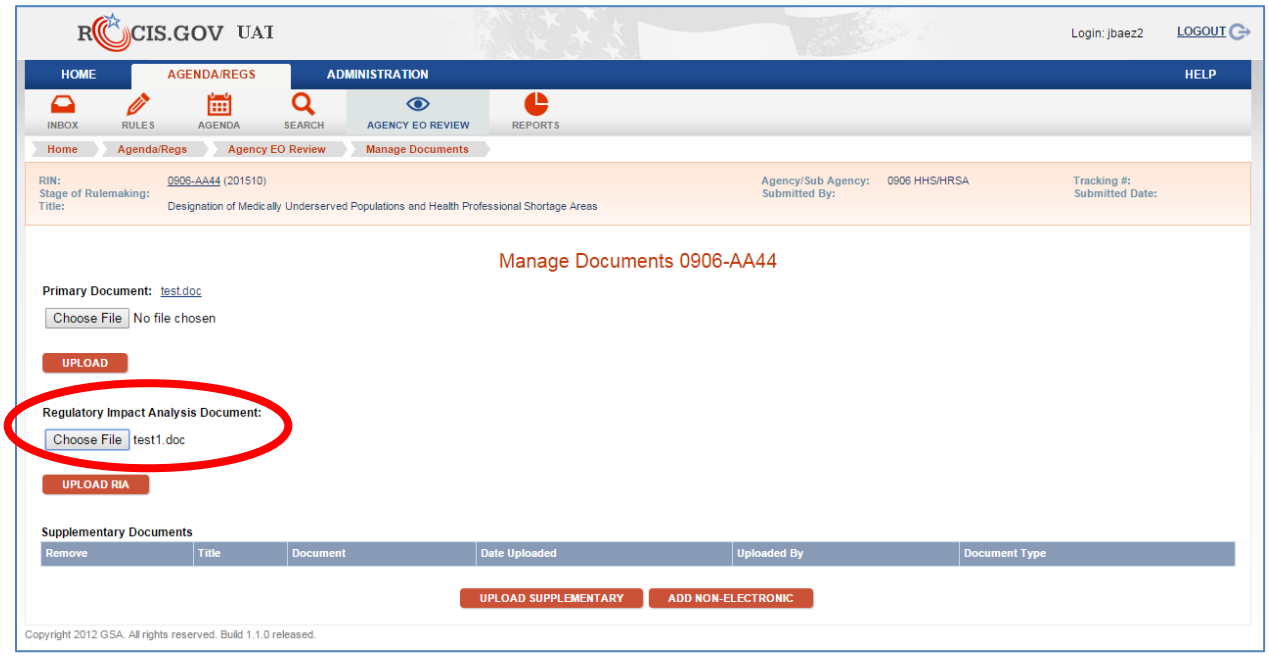


Figure 10.6: Path to Selected Document

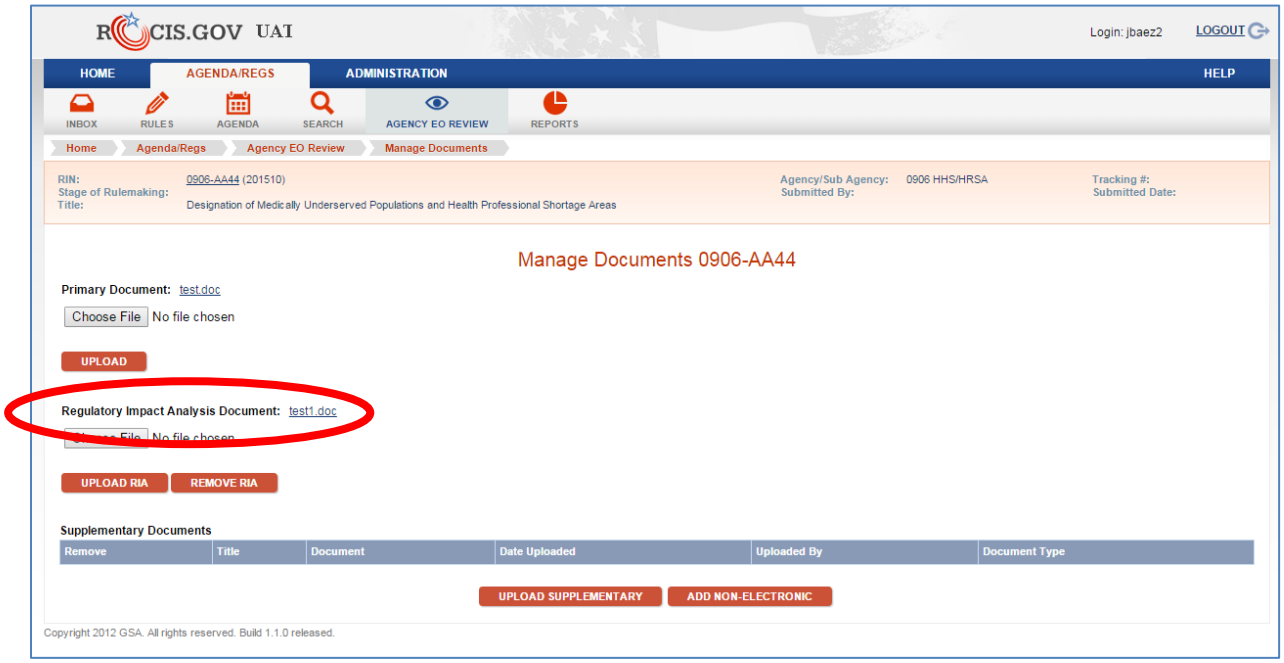


Figure 10.7: Manage Document Screen with Primary Document Uploaded

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.

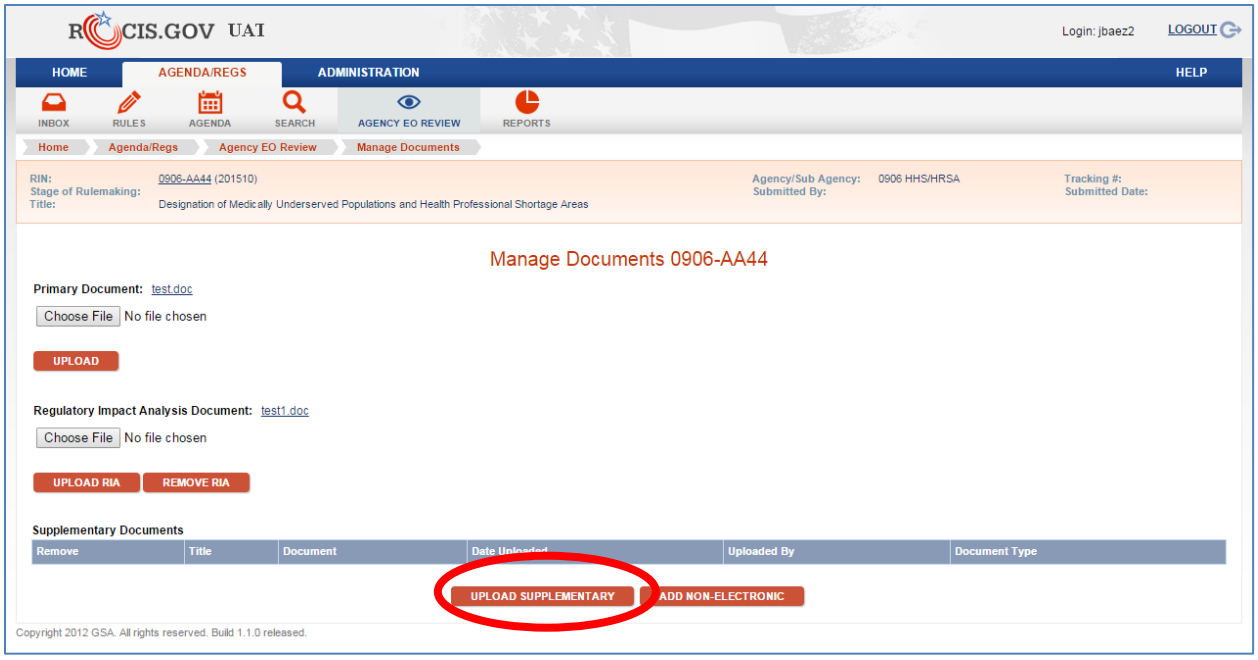


Figure 10.8: Upload Supplementary Button

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.

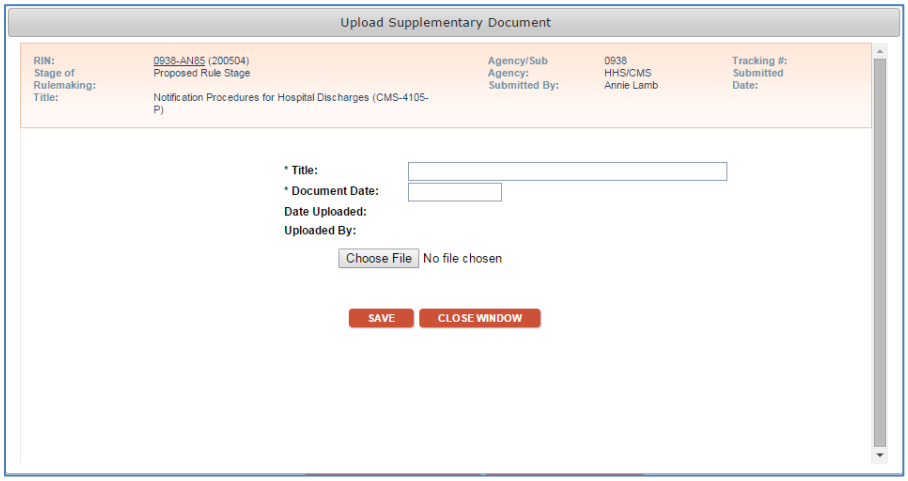


Figure 10.6: Upload Supplementary screen

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

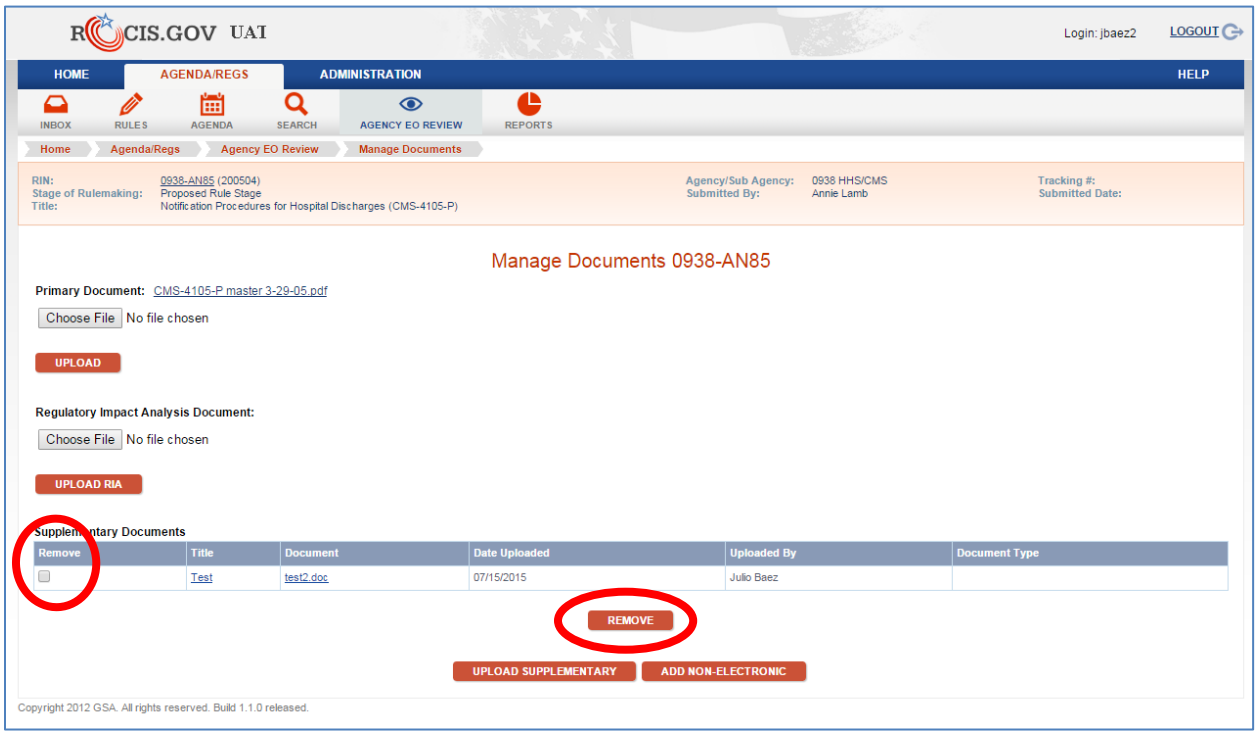


Figure 10.7: Upload Supplementary Document with Remove Button

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.

Cover Sheet

Document Information

RIN :	
Title:	EO User Guide Example
Publication Information :	Test
Created Date :	08/12/2013

Author(s)

First Name:	Julio
Last Name:	Baez
Affiliation:	Program Director

Contact Information

Creator Name:	Julio Baez
Agency:	Department of Health and Human Services
Address 1:	
Address 2:	
Address 3:	
City:	
State:	
Zip:	
Phone:	999 999-9999
Fax:	
E-mail:	julio.baez@gsa.gov

PRINT CLOSE WINDOW

Figure 10.8: Cover Sheet for Non-Electronic Document

11. HOW TO Handle 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, click on the 'Economic Data' tab.

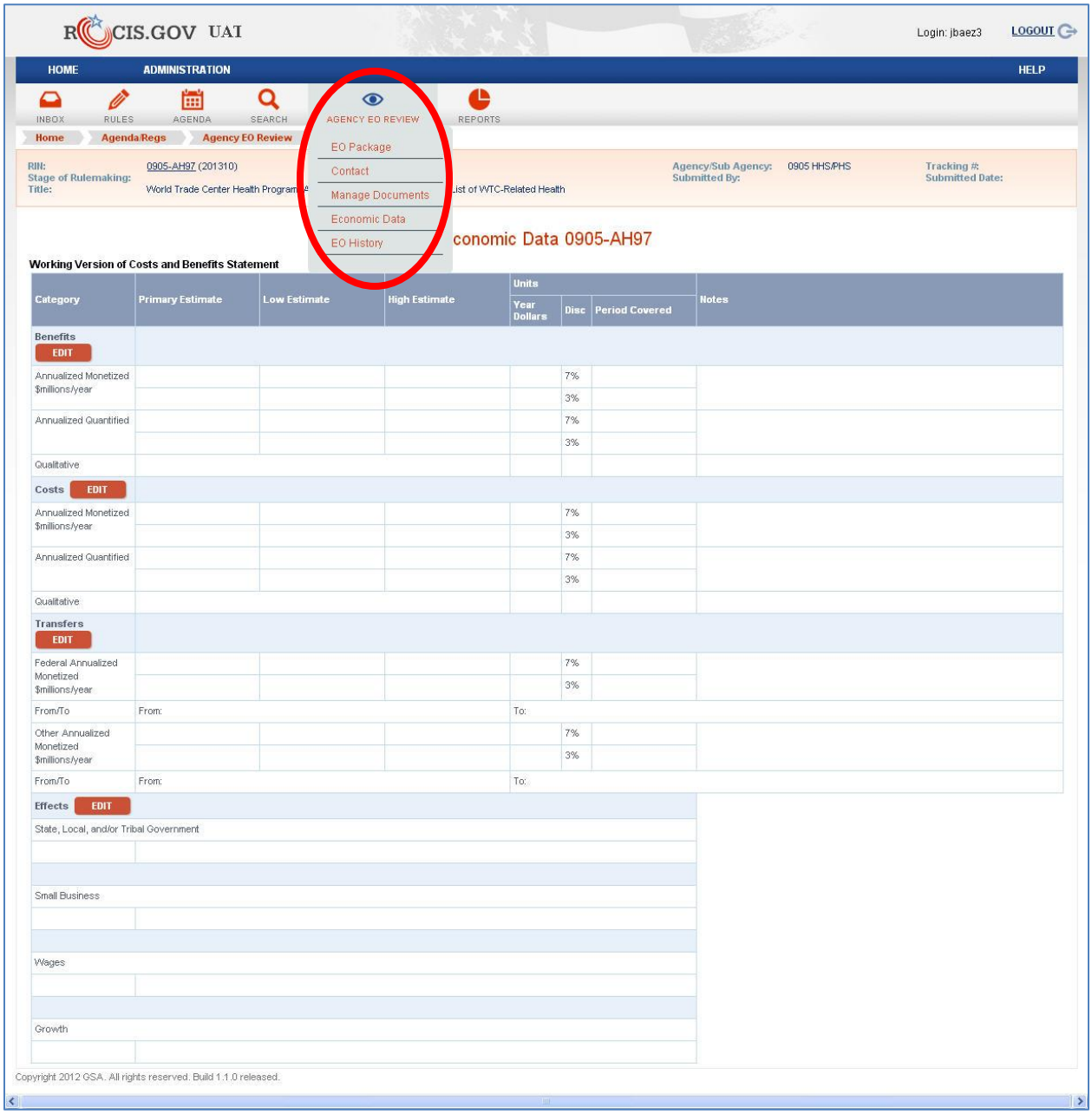


Figure 11.1: Economic Data screen

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.

12. Adding Final Information and Submitting

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.

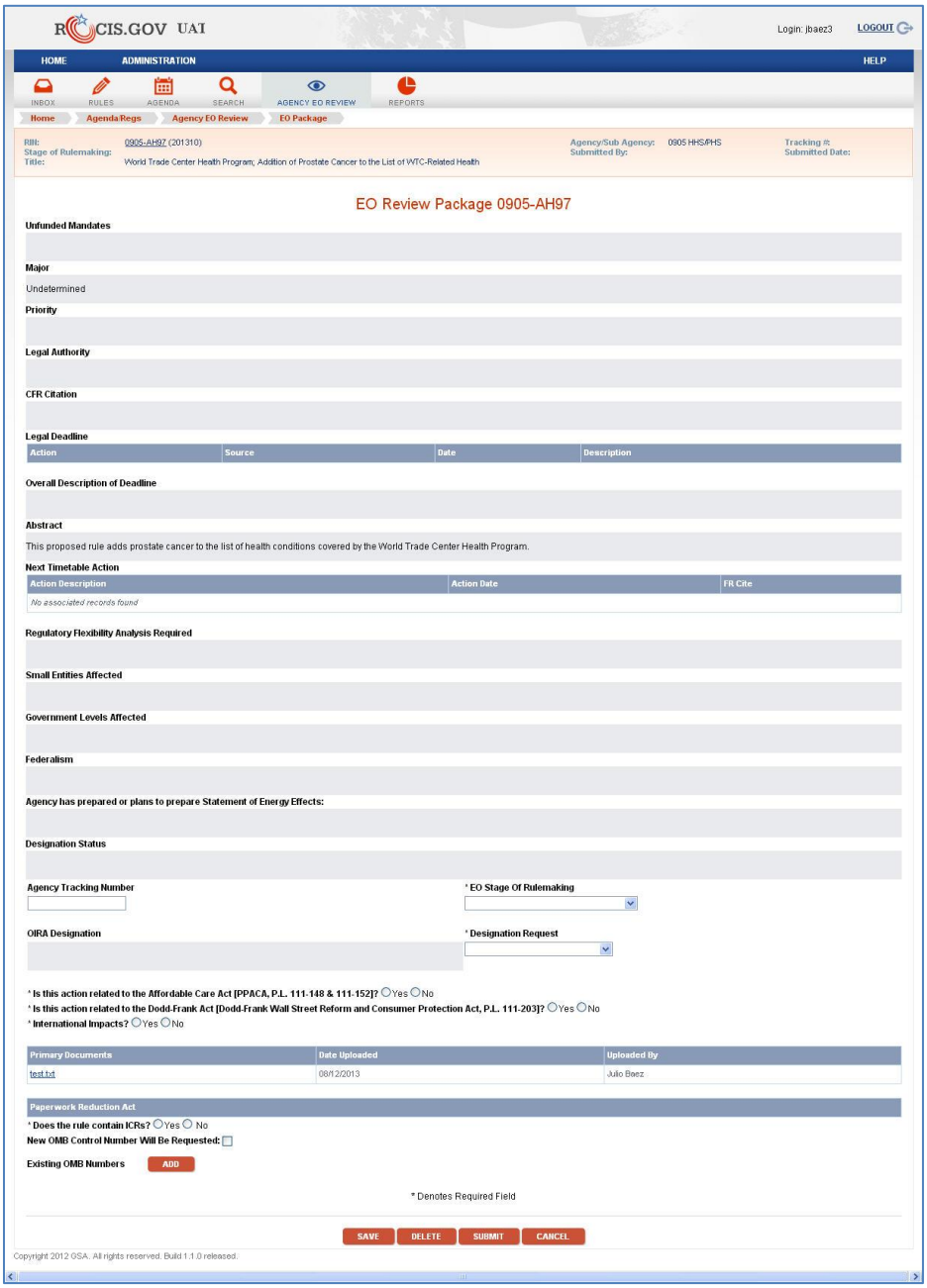


Figure 12.1: EO Package Screen

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.

The 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 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.

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.

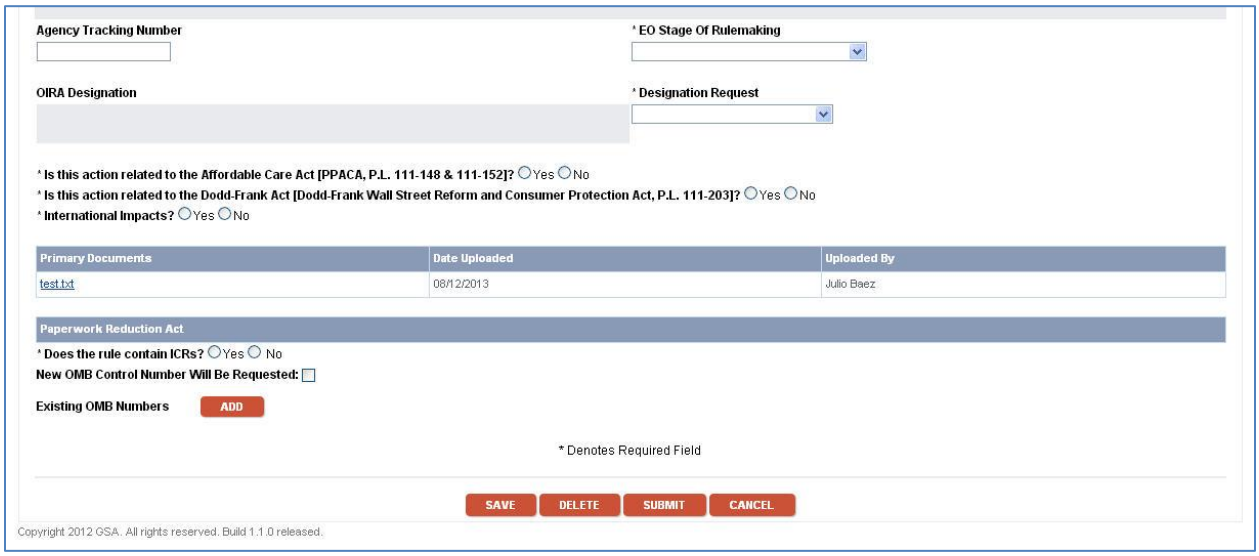


Figure 12.2: Bottom of EO Package Screen

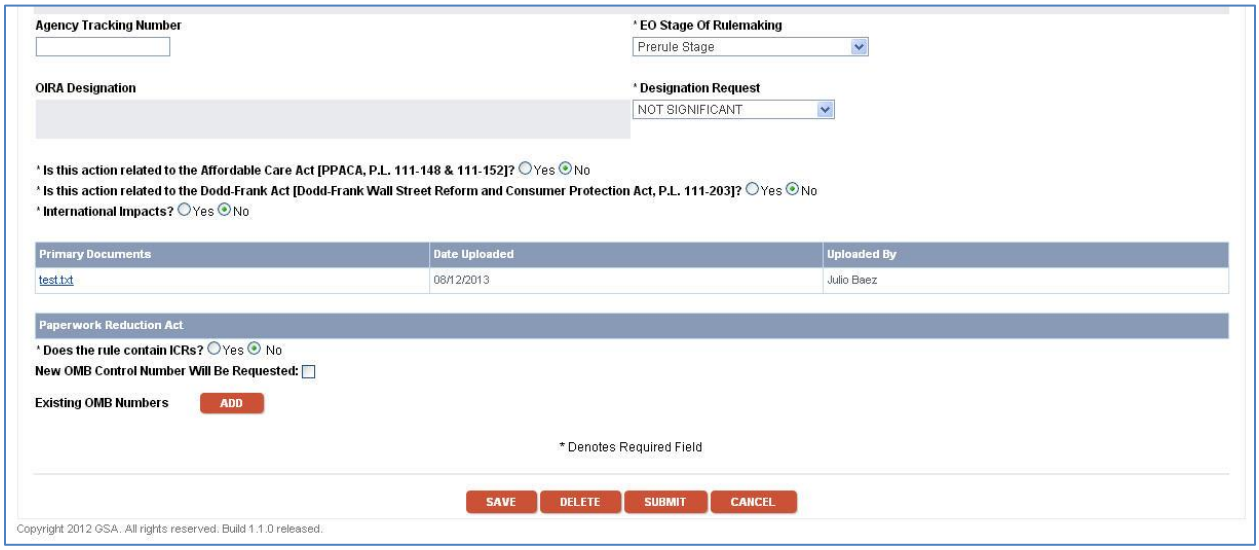


Figure 12.3: Completed EO Package Screen

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 Employee Administration 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.

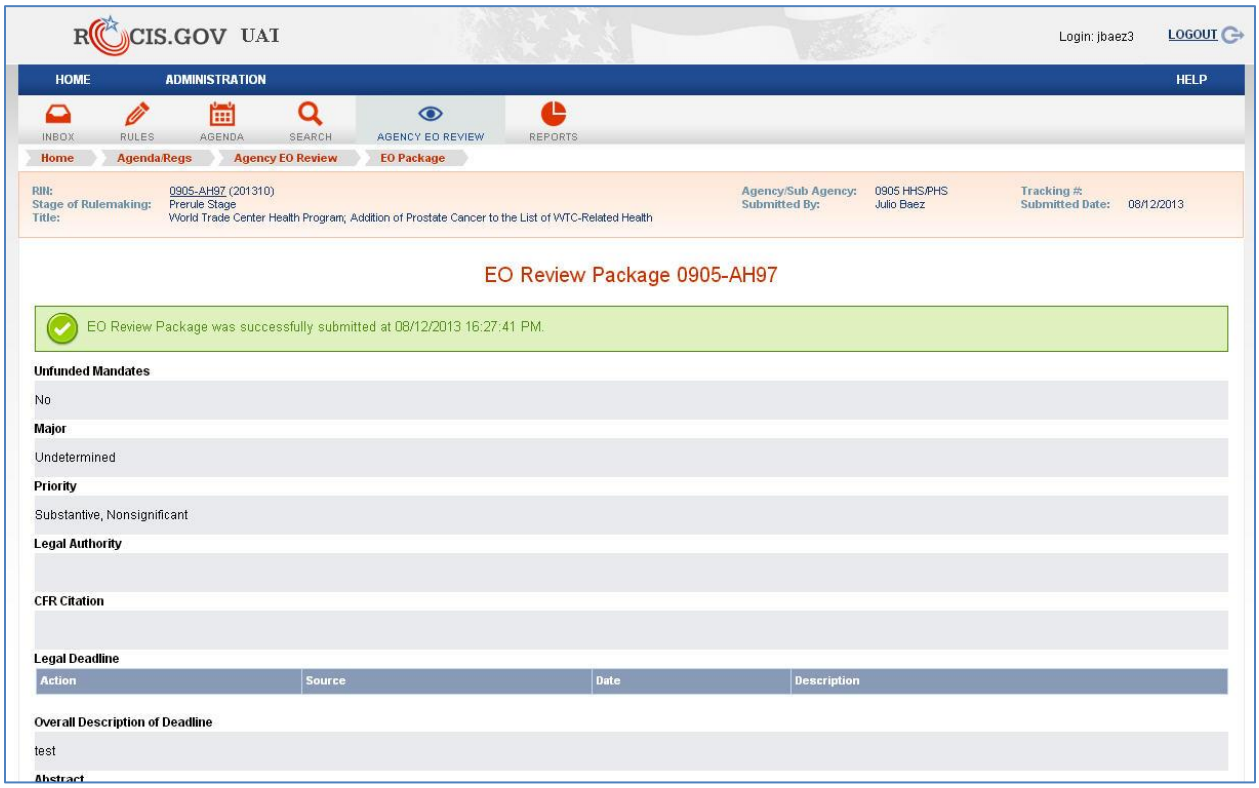


Figure 12.4: Confirmation of Submission

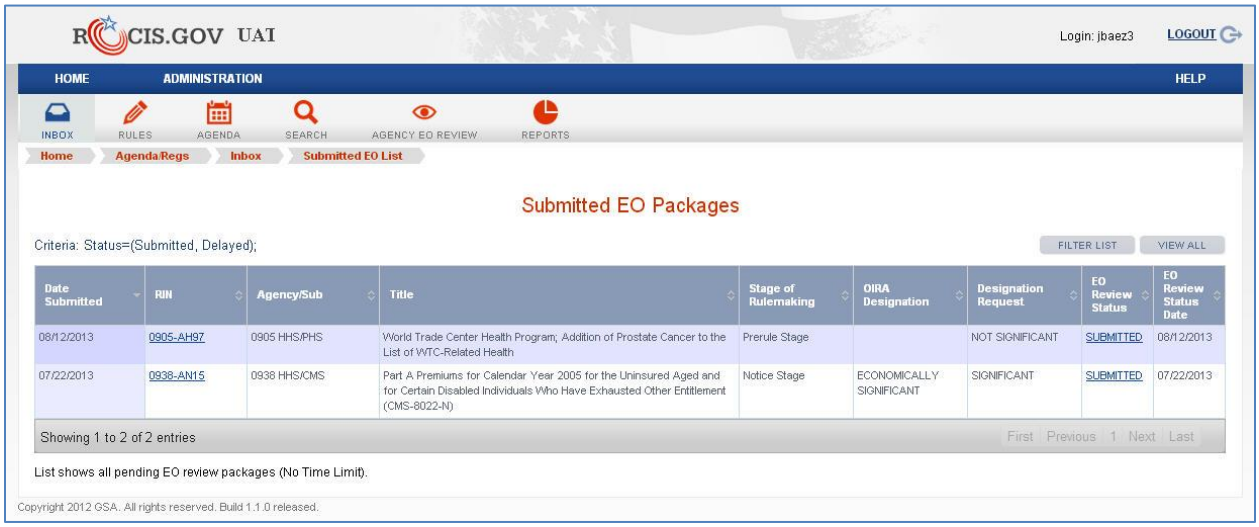


Figure 12.5: Submitted Request List

13. The Review Process and Open/Close 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.

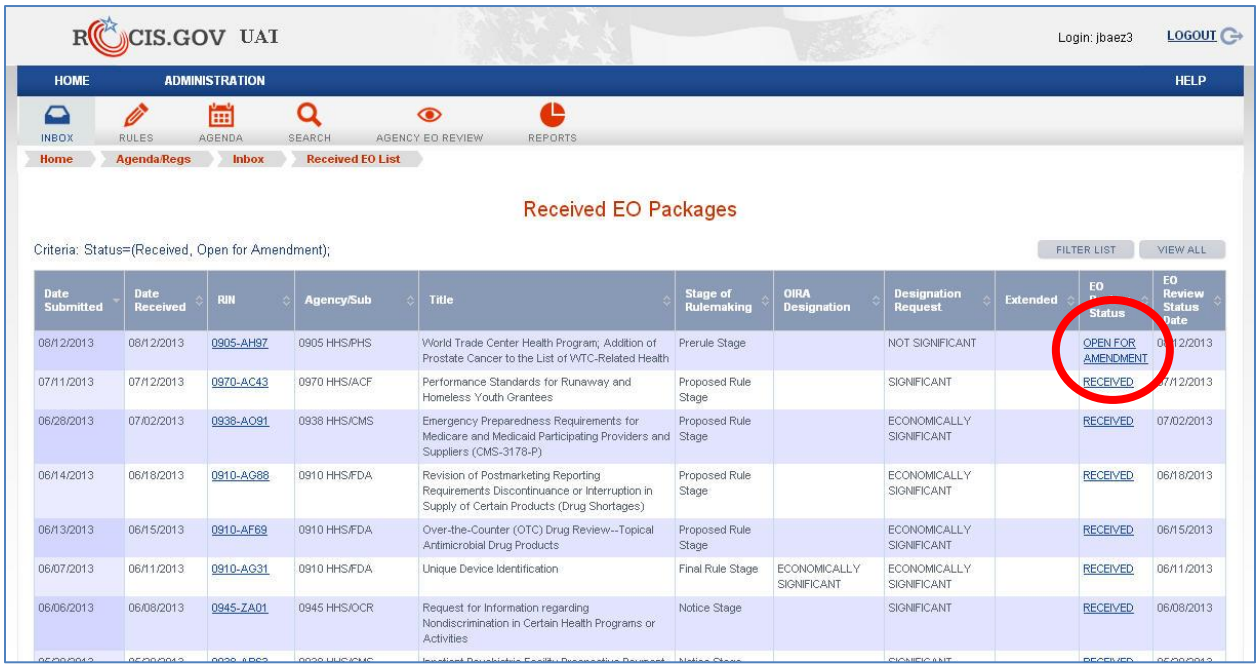


Figure 13.1: Received List showing EO Package Open for Amendment

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.

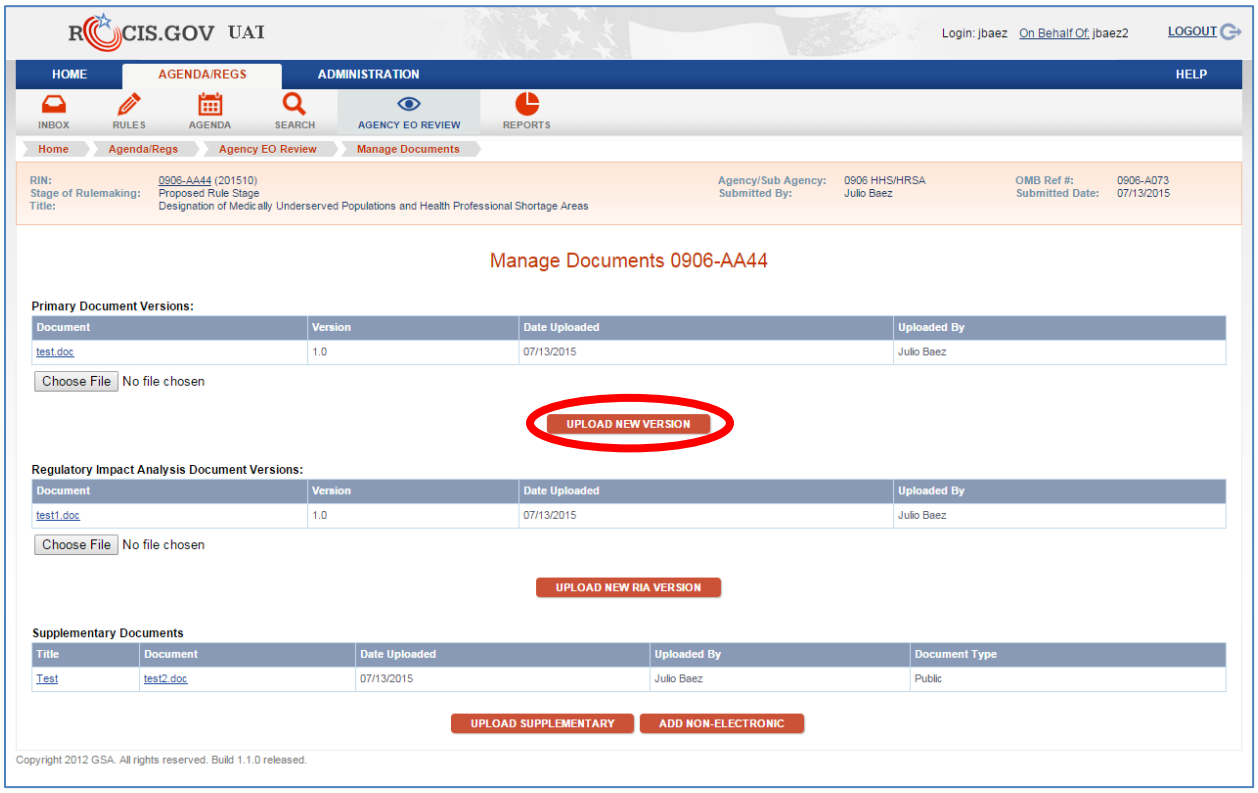


Figure 13.2: Manage Document Screen with 'Upload New Version' Button

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.

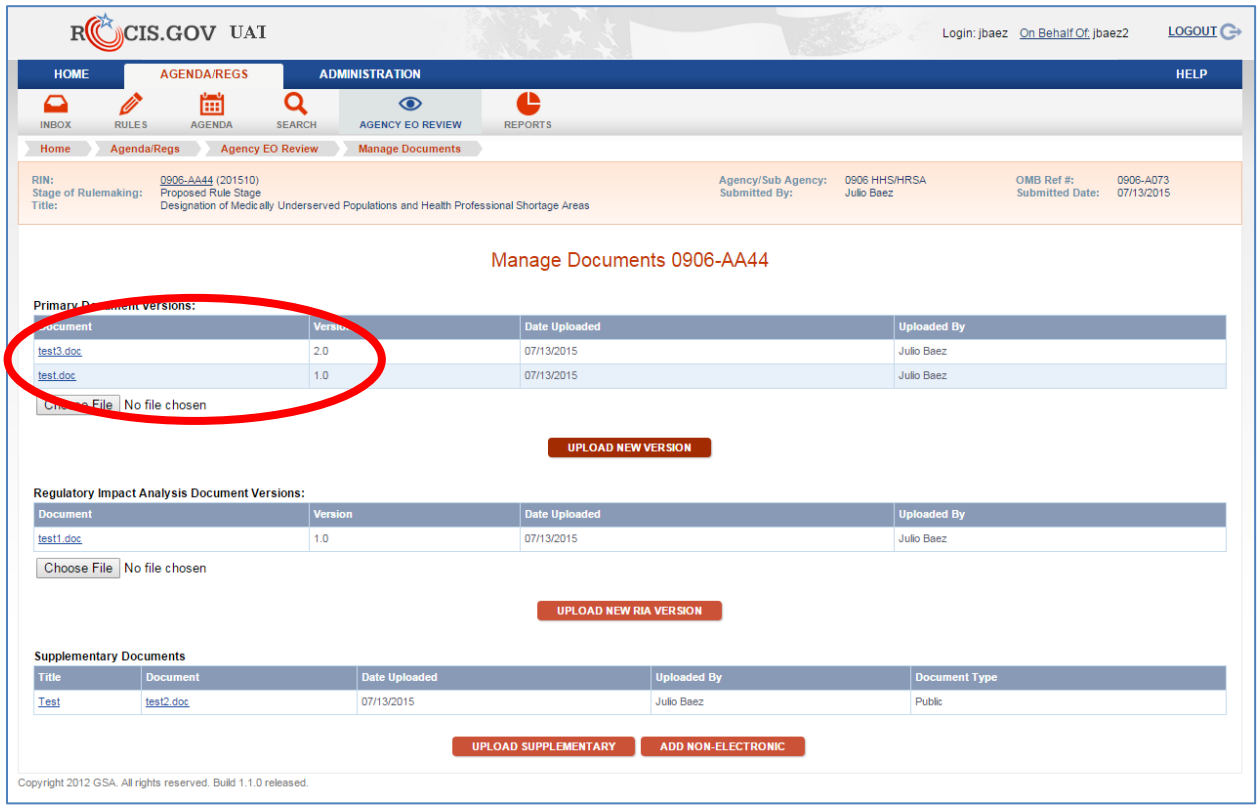


Figure 13.3: Manage Document Screen with Two Versions of Primary Document

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. ROCIS will indicate to the OIRA desk officer that the package has been amended.

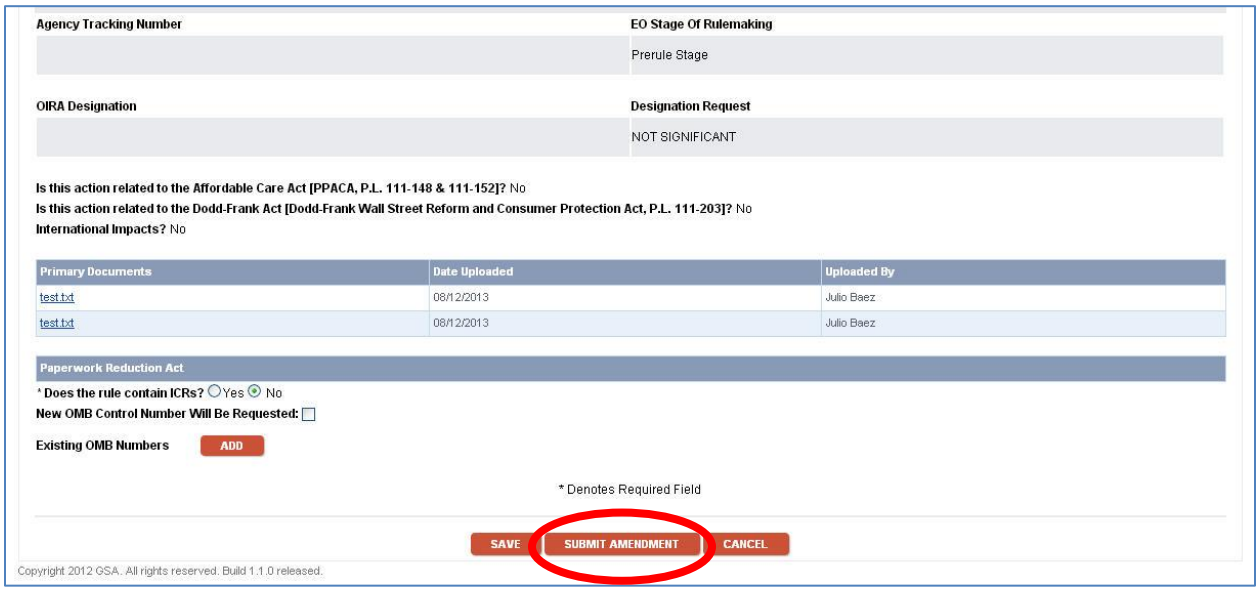


Figure 13.4: EO Package Screen with 'Submit Amendment' Button

The OIRA desk officer will subsequently close the package, and 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 Concluded Review

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.

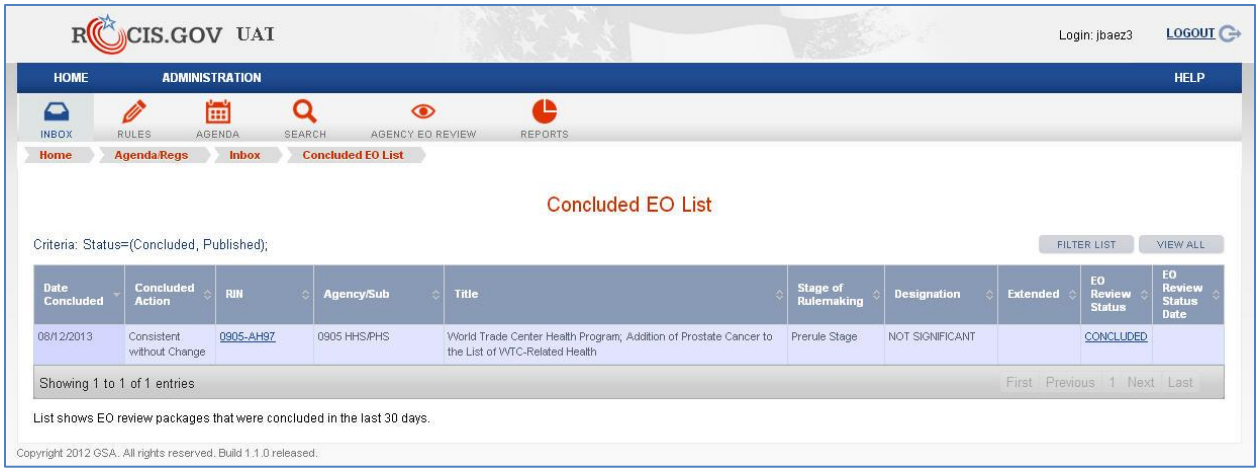
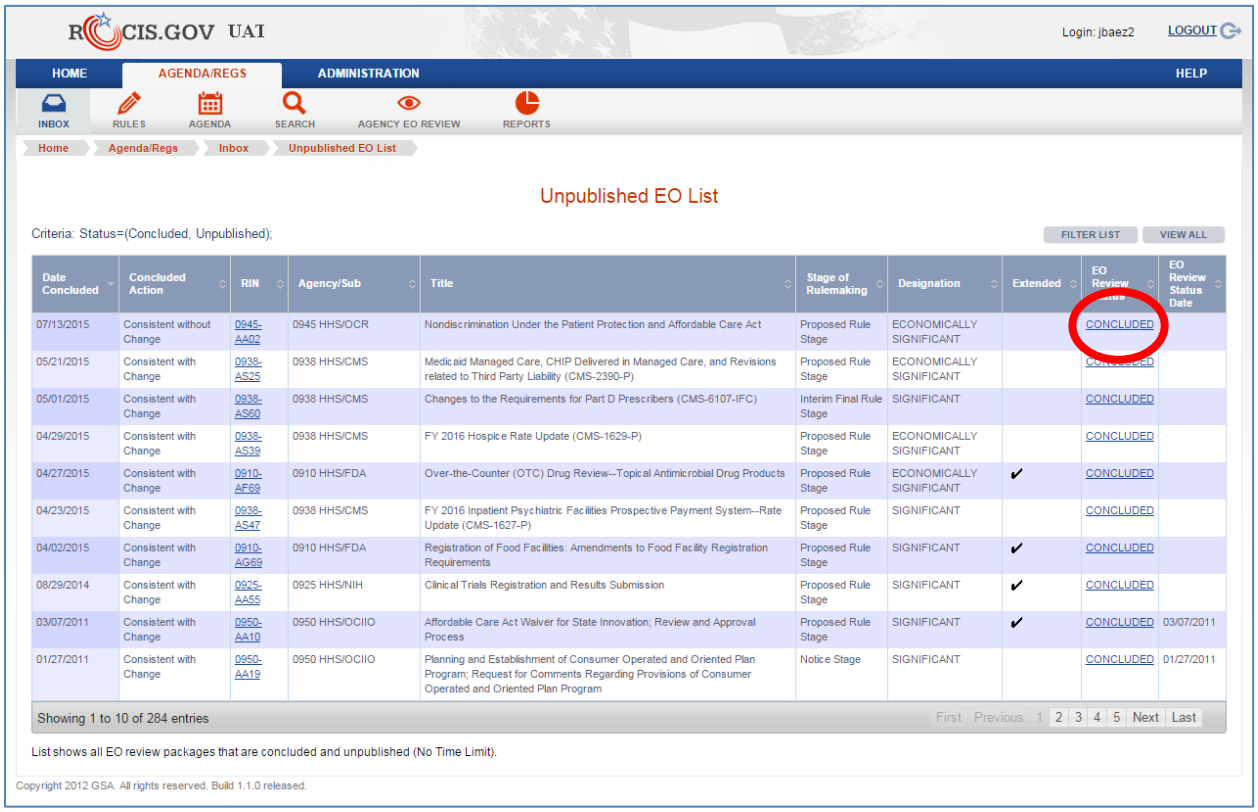


Figure 14.1: List of Concluded Reviews

15. Entering the FR Publication Date for an Approved Review

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.



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	0945-AA02	0945 HHS/OCR	Nondiscrimination Under the Patient Protection and Affordable Care Act	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT		CONCLUDED	
05/21/2015	Consistent with Change	0938-AS25	0938 HHS/CMS	Medicaid Managed Care, CHIP Delivered in Managed Care, and Revisions related to Third Party Liability (CMS-2390-P)	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT		CONCLUDED	
05/01/2015	Consistent with Change	0938-AS60	0938 HHS/CMS	Changes to the Requirements for Part D Prescribers (CMS-6107-IFC)	Interim Final Rule Stage	SIGNIFICANT		CONCLUDED	
04/29/2015	Consistent with Change	0938-AS39	0938 HHS/CMS	FY 2016 Hospice Rate Update (CMS-1629-P)	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT		CONCLUDED	
04/27/2015	Consistent with Change	0910-AF69	0910 HHS/FDA	Over-the-Counter (OTC) Drug Review--Topical Antimicrobial Drug Products	Proposed Rule Stage	ECONOMICALLY SIGNIFICANT	✔	CONCLUDED	
04/23/2015	Consistent with Change	0938-AS47	0938 HHS/CMS	FY 2016 Inpatient Psychiatric Facilities Prospective Payment System--Rate Update (CMS-1627-P)	Proposed Rule Stage	SIGNIFICANT		CONCLUDED	
04/02/2015	Consistent with Change	0910-AG69	0910 HHS/FDA	Registration of Food Facilities: Amendments to Food Facility Registration Requirements	Proposed Rule Stage	SIGNIFICANT	✔	CONCLUDED	
08/29/2014	Consistent with Change	0925-AA55	0925 HHS/NIH	Clinical Trials Registration and Results Submission	Proposed Rule Stage	SIGNIFICANT	✔	CONCLUDED	
03/07/2011	Consistent with Change	0950-AA10	0950 HHS/OCIIO	Affordable Care Act Waiver for State Innovation; Review and Approval Process	Proposed Rule Stage	SIGNIFICANT	✔	CONCLUDED	03/07/2011
01/27/2011	Consistent with Change	0950-AA19	0950 HHS/OCIIO	Planning and Establishment of Consumer Operated and Oriented Plan Program; Request for Comments Regarding Provisions of Consumer Operated and Oriented Plan Program	Notice Stage	SIGNIFICANT		CONCLUDED	01/27/2011

Figure 15.1: Unpublished EO List

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

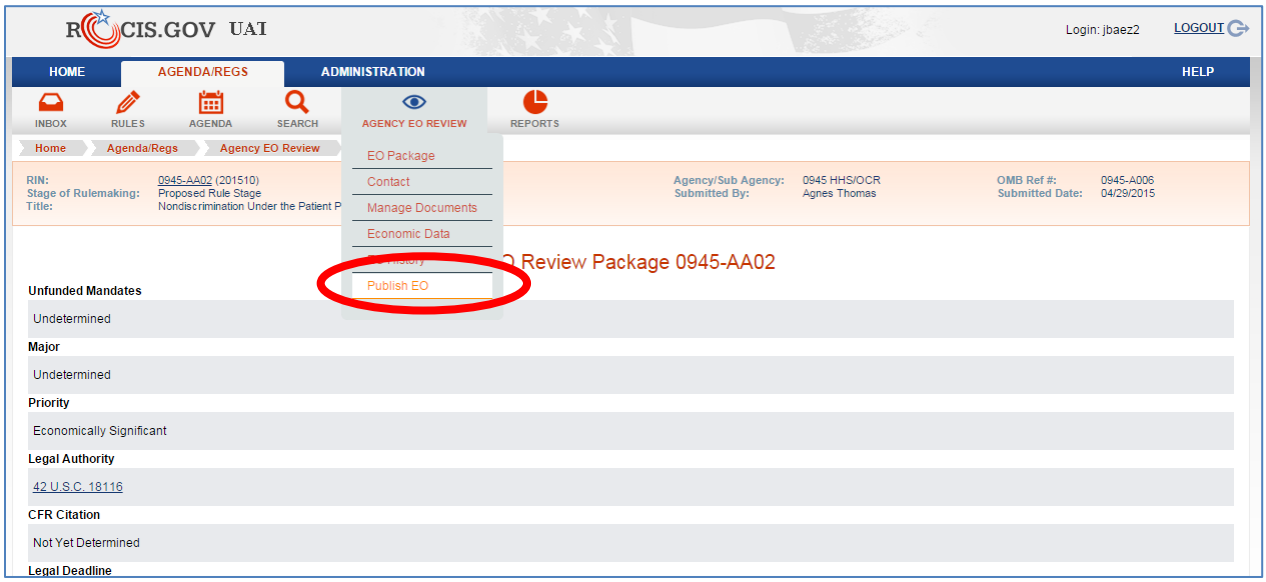


Figure 15.2: 'Publish EO' Option in Agency EO Review Menu

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

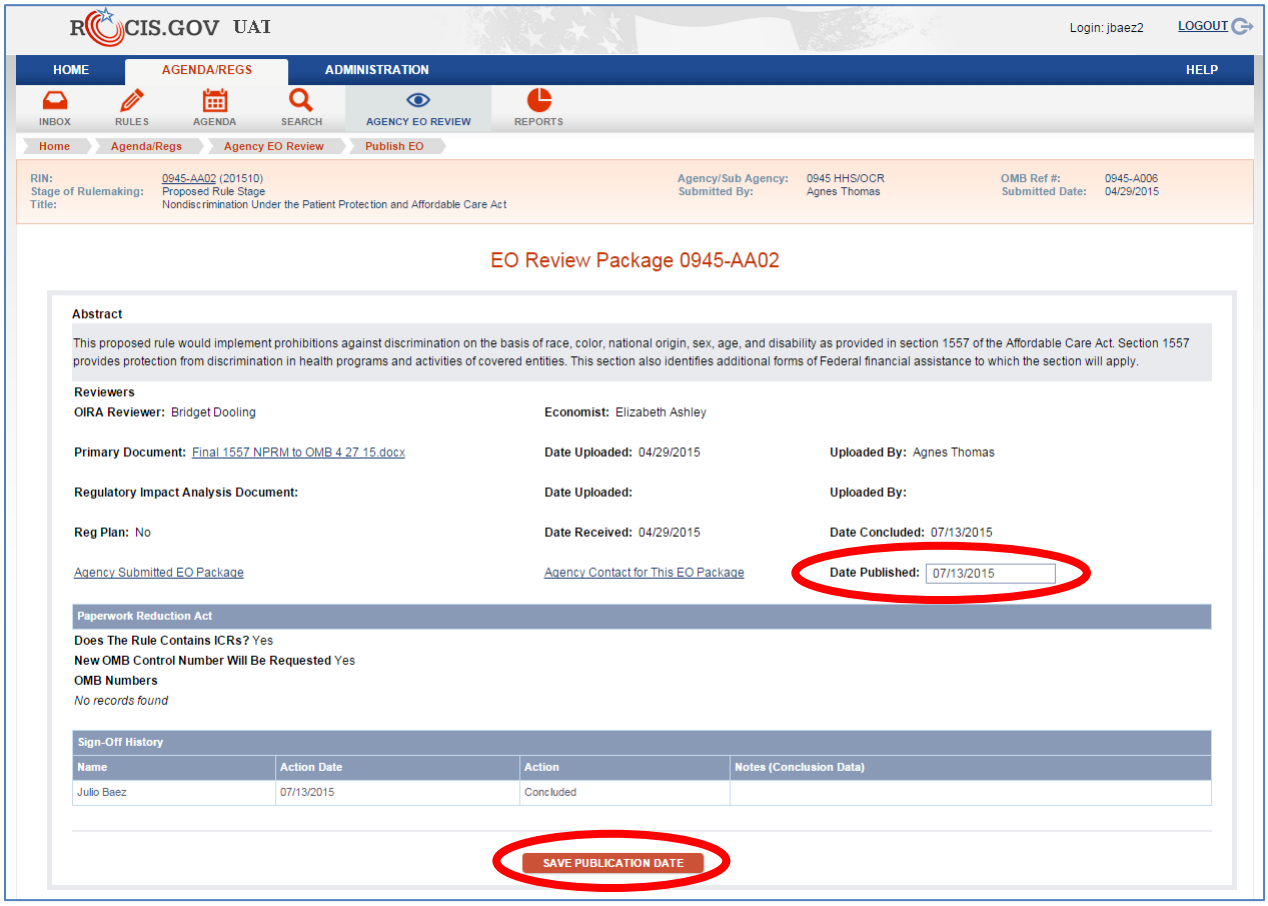


Figure 15.3: Date Published field and Save Publication Date button

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

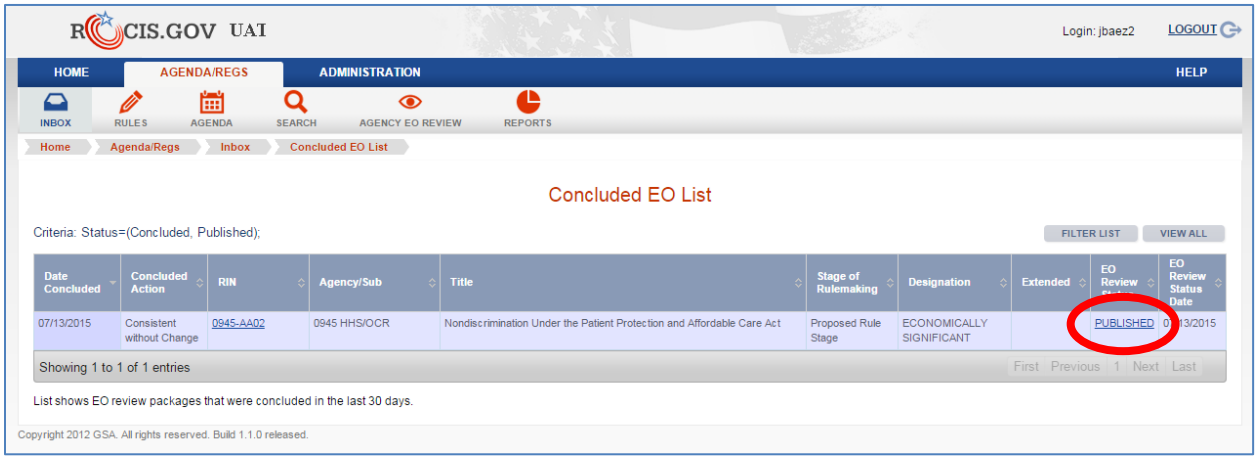


Figure 15.4: Concluded EO List with Published EO Package

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.**

Regs Privileges Point of Contact (RPPOC) – 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 EO Reg Review module, the request must be made through the Regs Privileges Point of Contact. The RPPOC will inform the ROCIS technical team of whether the new user will be an RRP or an EORC and, if applicable, the sub agencies within the agency to which the user should have access (this applies mostly to Cabinet agencies and EPA). This role actually has no ROCIS privileges associated with it; however, most individuals in this role have an additional user role. **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.