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EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D.C. 20503

JUL 10 2001

MEMORANDUM FOR REGULATORY POLICY OFFICERS AT EXECUTIVE DEPARTMENTS AND AGENCIES AND MANAGING AND EXECUTIVE DIRECTORS OF CERTAIN AGENCIES AND COMMISSIONS

FROM: Donald Arbuckle, Deputy Administrator, Office of Information and Regulatory Affairs

SUBJECT: October 2001 *Regulatory Plan* and *Unified Agenda of Federal Regulatory and Deregulatory Actions*

This memorandum describes guidelines and procedures for publishing the October 2001 *Unified Agenda of Federal Regulatory and Deregulatory Actions* (see Attachment 1) and *The Regulatory Plan* (see Attachment 2). As you know, publication of the Agenda represents a key component of the regulatory planning mechanism prescribed in Executive Order 12866 "Regulatory Planning and Review" of September 30, 1993 (58 FR 51735; October 4, 1993).

As you prepare your Unified Agenda and Regulatory Plan submissions, please keep in mind the underlying objectives of better planning and coordination of the regulatory process and the need to make the regulatory process more accessible and open to the public. The Agenda and the Plan contribute significantly to achieving these objectives.

We also urge you to consider the emphasis on better communication with the public. You can find extensive online guidance on improving the language used in rulemaking documents at http://www.plainlanguage.gov.

The Regulatory Information Service Center will prepare the October 2001 Agenda from the ROCIS database system. The Center is continually improving this system. Since the last Agenda, we have implemented a new help desk to assist with connectivity to ROCIS. Agencies that submit data in an electronic file form should also use ROCIS to upload the file, following the Center's instructions.

Executive Order 13132 "Federalism" issued on August 4, 1999 (64 FR 43255; August 10, 1999) requires that you indicate whether each regulatory action has "federalism implications" as defined in the order. This term refers to actions "that have substantial direct effects on the States, on the relationship between the national government and the States, or on the distribution of power and responsibilities among the various levels of government." Independent agencies are encouraged to answer this question, but are not required to do so. Please coordinate this response with your responses to Government Levels Affected and Unfunded Mandates.

The October 2001 publication includes two new data elements to bring The Regulatory Plan and the Unified Agenda up to date with this Administration's regulatory efforts. The first new data element will allow you to indicate if you plan to prepare or have prepared a Statement of Energy Effects for significant energy actions, as required by Executive Order 13211 "Actions Concerning Regulations That Significantly Affect Energy Supply, Distribution, or Use" issued on May 18, 2001 (66 FR 28355; May 22, 2001). The second new data element will allow you to indicate Regulatory Plan entries for any existing regulations that the agency has under review.

Please update the information that appeared in the April 2001 Agenda and submit the required information for new items, including any actions that both began and ended since then.

The attachments to this memorandum include all the materials you need to prepare your submissions. They explain in detail how to prepare your Agenda and Plan submissions, whether you enter your information directly into the data base, transmit a complete electronic data file, or submit your information on paper forms. Please follow carefully the procedures explained in the attachments and be sure to include all required documents with your submissions.

It is very important that your agency submit all Regulatory Plan materials by August 31, 2001 and all Unified Agenda materials by September 17, 2001. A submission means that the ROCIS database contains complete and accurate information, a Statement of Regulatory Priorities for Regulatory Plan submissions, and a Preamble for Unified Agenda submissions. The Unified Agenda submission must additionally include one signed original and two certified copies of the Preamble and a letter addressed to the Office of the Federal Register authorizing RISC to assemble your agenda and authorizing the Government Printing Office to bill you for printing costs. Late submission could jeopardize timely publication.

You may direct any questions regarding the content of agency plans or agendas to the appropriate desk officer in the Office of Information and Regulatory Affairs, Office of Management and Budget. Please direct your submissions, as well as requests for additional materials and production questions, to the Regulatory Information Service Center, General Services Administration, 1800 F Street NW. Suite 3039, Washington, DC 20405, (202) 482-7340.

Thank you for your cooperation and prompt attention.

Attachments

cc:
Heads of Executive Departments and Certain Agencies
and Commissions

Guidelines and Procedures for the October 2001 Unified Agenda of Federal Regulatory and Deregulatory Actions

Why Is the Unified Agenda Published?

All executive departments and establishments subject to Executive Order No. 12866 "Regulatory Planning and Review" of September 30, 1993 (58 FR 51735; October 4, 1993) are required by section 4(b) to publish a regulatory agenda every 6 months. The *Unified Agenda of Federal Regulatory and Deregulatory Actions* is a compilation of these agendas. In addition, the Unified Agenda furthers the purposes of the Regulatory Flexibility Act (5 U.S.C. 602 and 605); Executive Order 13132 entitled "Federalism" (August 4, 1999; 64 FR 43255); the Unfunded Mandates Reform Act of 1995 (P.L. 104-4, title II) and the Small Business Regulatory Enforcement Fairness Act (P.L. 104-121, title II).

What Regulations Should Agencies Include in Their Agendas?

Regulatory agendas should describe all regulations under development or review during the 12 months following publication. This includes, at a minimum, any plans to publish or otherwise implement an Advance Notice of Proposed Rulemaking, a Notice of Proposed Rulemaking, or a Final Rule. Agencies may include any plans to conduct a review pursuant to 5 U.S.C. 610(c) or section 5 of Executive Order 12866. An agency need not include in its regulatory agenda those rulemaking actions that are excluded by section 3(d)(1)-(4) of Executive Order 12866. Agencies have the option of including activities that will have a next action beyond 12 months. Agency agendas also should include actions or reviews completed or withdrawn since the last agenda.

How Is the Unified Agenda Organized?

Each agency's agenda appears as its own separate part in one edition of the **Federal Register**. The parts of the Unified Agenda are organized alphabetically in four groups: Cabinet departments; other executive agencies; the Federal Acquisition Regulation, a joint authority; and independent regulatory agencies. Departments may in turn be divided into subagencies.

Each part of the Agenda begins with a preamble providing information specific to that part. For each agency that requests it, the Center provides a table of contents that appears in the Agenda after the agency preamble.

Each agency presents its entries divided by subagency, if applicable, under one of five headings according to the rulemaking stage of the entry. The stages are:

1. *Prerule Stage* -- actions agencies will undertake to determine whether or how to initiate rulemaking. Such actions occur prior to a Notice of Proposed Rulemaking (NPRM) and may include Advance Notices of Proposed Rulemaking (ANPRMs) and reviews of existing regulations.

2. *Proposed Rule Stage* -- actions for which agencies plan to publish a Notice of Proposed Rulemaking as the next step in their rulemaking process or for which the closing date of the NPRM Comment Period is the next step.

3. *Final Rule Stage* -- actions for which agencies plan to publish a final rule or an interim final rule or to take other final action as the next step in their rulemaking process.

4. *Long-Term Actions* -- items under development but for which the agency does not expect to have a regulatory action within the 12 months after publication of this edition of the Unified Agenda. Some of the entries in this section may contain abbreviated information.

5. *Completed Actions* -- actions or reviews the agency has completed or withdrawn since publishing its last agenda. This section also includes items the agency began and completed between issues of the Agenda.

An agency may use subheadings to identify regulations that it has grouped according to particular topics. When these subheadings are used, they appear above the title of the first regulation in each rulemaking stage group.

Unless otherwise specified by the agency, the final sort is by RIN.

A bullet (•) preceding an entry indicates that the entry appears in the publication for the first time.

All entries are numbered sequentially from the beginning to the end of the publication. The sequence number preceding the title of each entry identifies the location of the entry in this edition. The same number is used to reference specific entries in the indexes.

Each publication contains six indexes. Index A lists entries for which agencies have indicated that they are conducting a periodic review under section 610(c) of the Regulatory Flexibility Act. Index B lists the regulatory actions for which agencies believe that the Regulatory Flexibility Act may require a Regulatory Flexibility Analysis. Index C lists additional regulatory actions for which agencies have chosen to indicate that some impact on small entities is likely even though a Regulatory Flexibility Analysis may not be required. Index D lists entries that agencies believe may have effects on levels of government. Index E lists entries that agencies believe may have federalism implications as defined in Executive Order 13132. Index F is a subject index based on the Federal Register Thesaurus of Indexing Terms.

What Information Appears for Each Regulation Included in the Agency Agenda?

All entries in the Unified Agenda contain uniform data elements including, at a minimum, the following information:

Title of the Regulation -- a brief description of the subject of the regulation, possibly including section 610 review designation. The notation "Section 610 Review" following the title indicates that the agency has selected the rule for its periodic review of existing rules under the Regulatory Flexibility Act (5 U.S.C. 610(c)). Some agencies have indicated completions of section 610 reviews or rulemaking actions resulting from completed section 610 reviews.

Priority -- an indication of the significance of the regulation. Agencies assign each entry to one of the following five categories of significance:

(1) **Economically Significant** - As defined in Executive Order 12866, a rulemaking action that will have an annual effect on the economy of $100 million or more or will adversely affect in a material way the economy, a sector of the economy, productivity, competition, jobs, the environment, public health or safety, or State, local, or tribal governments or communities. The definition of an "economically significant" rule is similar but not identical to the definition of a "major" rule under 5 U.S.C. 801 (P. L. 104-121). (See below.)

(2) **Other Significant** - A rulemaking that is not economically significant but is considered significant by the agency. This category includes rules that the agency anticipates will be reviewed under E.O. 12866 or rules that are a priority of the agency head. These rules may or may not be included in the agency's regulatory plan.

(3) **Substantive, Nonsignificant** - A rulemaking that has substantive impacts but is neither Significant, nor Routine and Frequent, nor Informational/Administrative/Other.

(4) **Routine and Frequent** - A rulemaking that is a specific case of a multiple recurring application of a regulatory program in the Code of Federal Regulations and that does not alter the body of the regulation.

(5) **Informational/Administrative/Other** - A rulemaking that is primarily informational or pertains to agency matters not central to accomplishing the agency's regulatory mandate but that the agency places in the Unified Agenda to inform the public of the activity.

Major -- an indication the agency believes that a rule may be "major" under 5 U.S.C. 801 (P.L. 104-121) because it has resulted in or is likely to result in an annual effect on the economy of $100 million or more or meets other criteria specified in that Act. The agency indicates this under the "Priority" heading. (The Act provides that the Administrator of the Office of Information and Regulatory Affairs will make the final determination as to whether a rule is major.)

Unfunded Mandates -- whether the rule is covered by section 202 of the Unfunded Mandates Reform Act of 1995 (P.L. 104-4). The Act requires that, before issuing an NPRM likely to result in a mandate that may result in expenditures by State, local, and tribal governments, in the aggregate, or by the private sector of more than $100 million in 1 year, agencies, other than independent regulatory agencies, shall prepare a written statement containing an assessment of the anticipated costs and benefits of the Federal mandate. If the agency believes the entry is not subject to the Act, this data element will not be printed.

Legal Authority -- the section(s) of the United States Code (U.S.C.) or Public Law (P.L.) or the Executive order (E.O.) that authorize(s) the regulatory action. Agencies may provide popular name references to laws in addition to these citations.

CFR Citation -- the section(s) of the Code of Federal Regulations that will be affected by the action.

Legal Deadline -- whether the action is subject to a statutory or judicial deadline, the date of that deadline, and whether the deadline pertains to an NPRM, a Final Action, or some other action.

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

Timetable -- the dates and citations (if available) for all past steps and a projected date for at least the next step for the regulatory action. A date printed in the form mm/00/yyyy means the agency is predicting the month and year the action will take place but not the day it will occur. In some instances, agencies may indicate what the next action will be, but the date of that action is "To Be Determined." Agencies indicated this by entering a date in the form 00/00/0000. "Next Action Undetermined" indicates the agency does not know what action it will take next.

It is important that you provide in the Timetable section of every entry that is not a completion, an estimated date for the "Next Action" -- the first action scheduled to occur on or after October 1, 2001 or indicate "Next Action Undetermined".

Regulatory Flexibility Analysis Required -- whether an analysis is required by the Regulatory Flexibility Act (5 U.S.C. 601 et seq.) because the rulemaking action is likely to have a significant economic impact on a substantial number of small entities as defined by the Act.

Small Entities Affected -- the types of small entities (businesses, governmental jurisdictions, or organizations) on which the rulemaking action is likely to have an impact as defined by the Regulatory Flexibility Act. Some agencies have chosen to indicate likely effects on small entities even though they believe that a Regulatory Flexibility Analysis will not be required.

Government Levels Affected -- whether the action is expected to affect levels of government and, if so, whether the governments are State, local, tribal, or Federal.

Federalism -- whether the action has "federalism implications" as defined in Executive Order 13132. This term refers to actions "that have substantial direct effects on the States, on the relationship between the national government and the States, or on the distribution of power and responsibilities among the various levels of government." If the action does not have federalism implications, this data element will not be printed. Independent regulatory agencies are not required to supply this information.

Agency Contact -- the name and phone number of at least one person in the agency who is knowledgeable about the rulemaking action. The agency may also provide the title, address, fax number, e-mail address, and TDD for the agency contact.

Procurement -- whether the action is related to procurement and, if so, whether it is required by statute and whether it involves a paperwork burden. The Procurement heading appears only if the entry is related to procurement.

Some agencies have provided the following optional information:

Compliance Cost to the Public -- the estimated gross compliance cost of the action.

Affected Sectors -- the industrial sectors that the action may most affect, either directly or indirectly. Affected Sectors are identified by North American Industry Classification System (NAICS) codes.

Energy Effects -- an indication of whether the agency plans to prepare or has prepared a Statement of Energy Effects for significant energy actions, as required by Executive Order 13211 "Actions Concerning Regulations That Significantly Affect Energy Supply, Distribution, or Use" issued on May 18, 2001 (66 FR 28355; May 22, 2001).

How Should an Agency Prepare Its Data for Publication in the Unified Agenda?

Agencies participating in the Unified Agenda should publish their respective portions in the uniform format specified in the instructions of the Regulatory Information Service Center (RISC). RISC edits and compiles the Unified Agenda on behalf of the Office of Information and Regulatory Affairs (OIRA).

Agencies have three alternative methods to prepare data on individual entries for publication in the Unified Agenda:

(1) Direct Entry. The agency establishes a connection from one or more of its own computer terminals, through an Internet browser, to a server at the General Services Administration (GSA) that hosts the RISC-OIRA Combined Information System (ROCIS). Agency personnel should enter data directly into the ROCIS database. For preparation of the October 2001 Unified Agenda, ROCIS will be protected by a security procedure. For connectivity issues call 1-877-SEATGSA (732-8472) and identify yourself as an agency user of the ROCIS System. Be prepared to supply the name and phone number of a technical person at your agency that can assist you with setup.

(2) Data File. An agency that stores its Agenda data in its own data base may choose to send the data to RISC in a single electronic transmission. Agency personnel prepare a file according to the specific file format prescribed by RISC for this option. The agency then establishes a connection to ROCIS as described under the Direct Entry paragraph above. The agency personnel then use ROCIS to transmit the prepared file. If you are interested in data file submission, contact RISC for further information.

(3) Paper Forms. Agencies that cannot use Direct Entry or submit a Data File may choose to submit their agenda entries on paper forms. The RISC staff arranges for keying the data into ROCIS. For entries that will appear for the first time in the October 2001 Agenda, you should use Regulatory Information Data Forms marked 10/2001 Edition." To update entries that appeared in the April 2001 Unified Agenda, you should submit marked copies of "Agenda Review Reports" which you have printed from ROCIS.

Reports. ROCIS provides agencies with two main reports: the Agenda Review Report that is a printout of the agency's entries; and the Error Report that lists inaccurate or missing data. These reports may be run for all of an agency's entries, for entries updated since a specified date, or for a particular RIN or set of RINs. For each agency that prepares its agenda by (1) Direct Entry or (2) Data File, ROCIS provides the agency's agenda contact staff the ability to generate and print out these reports on the agency's own printers. You should use the Agenda Review Report to review the content of your agency's submission; you should use the error report to correct any errors and supply any missing data.

Preambles. If your agency is designating section 610 reviews in the Agenda, your preamble should include a reference to section 610 reviews. For agencies participating in the Plan, we suggest that your preamble contain the following text.

If your plan includes any individual entries:

"For this edition of [agency name]'s regulatory agenda, the most important significant regulatory actions are included in The Regulatory Plan, which appears in part II of this issue of the **Federal Register.** The Regulatory Plan entries are listed in the table of contents below and are denoted by a bracketed bold reference, which directs the reader to the appropriate sequence number in part II."

If your plan consists of only a statement of priorities:
"This edition of the Unified Agenda of Federal Regulatory and Deregulatory Actions includes The Regulatory Plan, which appears in part II of this issue of the **Federal Register**. [Agency]'s Statement of Regulatory Priorities is included in part II."

Direct Entry and Data File agencies must enter their preambles directly into ROCIS. The required, signed copies of preambles (see below) should be printed by the agency directly from ROCIS. If you supply your data for the Unified Agenda on paper forms and RISC enters all of your data, then you should submit both a printed copy of your preamble and a copy on disk, preferably in WordPerfect or Microsoft Word.

For further information about these procedures, please contact RISC.

What Documents Should an Agency Submit?

Each agency participating in the Unified Agenda should submit the following documents to RISC.

(1) One signed original and two certified copies of the preamble to its regulatory agenda. (Please note that the signature is required to be that of the person whose name and title are typed in the document's signature block. One person may not sign for another person.) The preamble must meet the normal requirements for printing in the *Federal Register*, including a list of CFR chapters pertaining to the agency.

(2) A paper copy of the agency's agenda entries *(only for agencies that choose to submit their data on paper forms)*. New entries should be on Regulatory Information Data Forms. Repeating entries should be on marked copies of "Agenda Review Reports" that the agency has obtained from RISC. For Direct Entry or Data File agencies, when the agency is satisfied that its entries are complete, accurate, and represent what the agency wishes to publish, a designated person at the agency will be able to submit the entries to RISC electronically through ROCIS.

(3) A letter addressed to the Office of the Federal Register (see sample letter) authorizing RISC to assemble the agency's agenda and authorizing the Government Printing Office (GPO) to bill the agency for printing its portion of the Unified Agenda. The letter should include the agency's billing code.

When and How Should Agencies Submit Their Agendas?

The deadline for submission of all completed agenda materials is September 17, 2001.

Agencies should submit the applicable forms and other required documents to the Regulatory Information Service Center (MI), General Services Administration, 1800 F Street NW., Suite 3039, Washington, DC 20405; telephone (202) 482-7340.

RISC will then assemble the entire Unified Agenda and ensure that all agency agendas are compiled and forwarded to GPO for printing in a single day's issue of the *Federal Register*. Each agency will be able to obtain reprint copies of its individual agenda through the GPO procurement process.

GPO will bill each agency for the cost of printing its portions of the Unified Agenda. Because the Unified Agenda is submitted by RISC to GPO for publication in a fully coded format, agencies receive a discount from GPO's regular charges.

How Can Agencies Obtain Further Information?

For further information concerning the content requirements of agency agendas, contact your agency's desk officer in the Office of Information and Regulatory Affairs, Office of Management and Budget.

For further information concerning automated agenda production, specific data requirements, format, completion, or submission of agency agendas, contact the Regulatory Information Service Center; telephone (202) 482-7340.

Guidelines and Procedures for the October 2001 Regulatory Plan

Why Is *The Regulatory Plan* Published?

The Regulatory Plan serves as a defining statement of the Administration's regulatory and deregulatory policies and priorities. Section 4(c) of Executive Order 12866 "Regulatory Planning and Review" of September 30, 1993 (58 FR 51735; October 4, 1993) requires agencies to publish an annual regulatory plan as part of the October edition of the *Unified Agenda of Federal Regulatory and Deregulatory Actions*.

What Regulations Should Agencies Include in Their Regulatory Plans?

Regulatory plans should describe the most important significant regulatory and deregulatory actions that the agency reasonably expects to issue in proposed or final form during the upcoming fiscal year, that will help implement the Administration's policies and priorities. By "most important" significant regulatory actions, we mean only those significant rulemakings that embody the core of your regulatory priorities. All important items relating to any existing regulations under agency review must also be included in this year's Regulatory Plan. You should not include actions that are likely to be completed by October 2001.

How is *The Regulatory Plan* Organized?

The Regulatory Plan is a single Governmentwide *Federal Register* document that appears as the first section of the October edition of the Unified Agenda. It begins with an introduction to the Plan and the Agenda, and then The Regulatory Plans of participating Federal departments and agencies. These departments and agencies are organized in the same manner as for the Unified Agenda, except that the Federal Acquisition Regulation, a joint authority, is not part of the Plan.

Each department or agency's section of the Plan contains a narrative statement of regulatory priorities followed by a description of the department or agency's most important significant regulatory and deregulatory actions. The Plan does not include a table of contents as is provided for some sections of the Unified Agenda.

Each department or agency presents its Plan entries divided by subagency, if applicable, and then under one of three headings according to the rulemaking stage of the entry. These headings are the same as the first three of the five headings applicable to the Unified Agenda: Prerule, Proposed and Final rulemaking stages.

All entries within the stage categories are sorted by RIN.

A bullet (•) preceding an entry indicates that the entry appears in the publication for the first time.

All entries are numbered sequentially from the beginning to the end of the Plan. The Agenda starts with the next sequence number following the last Plan entry. The RINs included in the Plan also appear in the Agenda, with minimal information that refers back to the Plan sequence number. This means that each Plan RIN has two sequence numbers, one in the Plan and one in the Agenda. The sequence number preceding the title of each Plan entry is the sequence number used in the indexes to enable readers to find specific Plan entries.

What Information Appears for Each Regulation Included in *The Regulatory Plan*?

Each entry in the Plan should contain all of the data elements that appear in a normal Agenda entry, including a Regulation Identifier Number (RIN), plus the following ***six*** additional fields:

(1) *Statement of Need.* This is a description of the need for the regulatory action. (sec. 4(c)(1)(D)).

(2) *Summary of the Legal Basis.* This description should include a description of the legal basis for the action and "whether any aspect of the action is required by statute or court order" (sec. 4(c)(1)(C)).

(3) *Alternatives.* This description should include, to the extent possible, the alternatives the agency has considered or will consider for analysis (sec. 4(c)(1)(B)).

(4) *Anticipated Costs and Benefits.* This description should include "preliminary estimates of the anticipated costs and benefits" of the regulatory action (sec. 4(c)(1)(B)). Consistent with previous guidance we have provided concerning the implementation of E.O. 12866, the description of costs should include both capital (up-front) costs and annual (recurring) costs. If the benefits are difficult to quantify, we encourage you, to the extent possible, to use nominal units (for example, health effects or injuries avoided) for benefits. Avoid the misclassification of transfer payments as costs or benefits. You should appropriately discount both costs and benefits. To the extent that you cannot quantify costs and benefits, you should describe them in narrative form. (The Unified Agenda format does not permit the use of a columnar format for cost and benefit information. Please provide these data using a narrative format.)

(5) *Risks.* This description should include, if applicable, "how the magnitude of the risk addressed by the action relates to other risks within the jurisdiction of the agency" (sec. 4(c)(1)(D)). You should include a description of the magnitude of the risk the action addresses, the amount by which the agency expects the action to reduce this risk, and the

relation of the risk reduction effort to other risks and risk reduction efforts within the agency's jurisdiction.

(6) *Look Back.* An indication that this rule is in your agency's list of existing regulations under review.

How Should an Agency Prepare Its Data for Publication in *The Regulatory Plan*?

Each agency participating in *The Regulatory Plan* should prepare its respective portion in the same manner and format that it uses for a normal Agenda entry. As with the Agenda, RISC edits and compiles the Plan on behalf of the Office of Information and Regulatory Affairs (OIRA).

Agencies have the same three alternative methods to prepare data on individual Plan entries as for Agenda entries: Direct Entry, Data File, and Paper Forms.

If your agency participated in the 2000 Regulatory Plan, RISC can supply you with a copy of your prior year's Statement or copies of any previous information for Plan entries.

Reports. As with the Unified Agenda, ROCIS provides agencies with two main reports: the Agenda Review Report, which is a printout of the agency's entries, and the Error Report, which lists inaccurate or missing data. These reports may be run for all of an agency's Plan entries, for entries updated since a specified date, or for a particular RIN or set of RINs. For each agency that prepares its Plan by (1) Direct Entry or (2) Data File, ROCIS provides the agency's agenda contact staff the ability to generate and print out these reports on the agency's own printers. You should use the Agenda Review Report to review the content of your agency's submission; you should use the error report to correct any errors and supply any missing data.

Statement of Regulatory and Deregulatory Priorities. This statement should be sufficiently specific to ensure that policymakers and those affected will understand your regulatory strategy and long-term priorities. You may want to include a specific reference to the most important significant regulatory actions that will implement these regulatory priorities and to any applicable legislative proposals under development or already initiated by you that will further these regulatory priorities. Please also include a list of any existing regulations that are under review and your agency's plan for soliciting public comments during the review. Direct Entry and Data File agencies must enter their statements directly into ROCIS. The copies required to submit your Plan should be printed by the agency directly from ROCIS. If you supply your data for the Plan on paper forms and RISC enters all of your data, then you should submit both a printed copy of your Statement and a copy on disk, preferably in WordPerfect or Microsoft Word.

For further information about these procedures, please contact RISC.

What Documents Should an Agency Submit?

Agencies that submit their portions of *The Regulatory Plan* by direct entry or by data file do not need to submit anything on paper. For these agencies, notify RISC via e-mail when you indicate in ROCIS that your plan is complete and that you are submitting it. ROCIS will terminate your access to your plan entries and Statement of Priorities. You will still have access to your other agenda entries.

Any agency participating in the Plan that submits its data on paper forms must submit the following documents to RISC:

(1) A paper copy of the agency's Statement of Regulatory and Deregulatory Priorities, together with a copy on disk, prepared in either WordPerfect or Microsoft Word.

(2) A paper copy of the agency's Plan entries. New entries should be on Regulatory Information Data Forms (10/2001 Edition). Repeating entries should be on marked copies of "Agenda Review Reports" that the agency has obtained from RISC.

(3) A cover letter identifying the enclosures as your agency's Plan submission.

When and How Should Agencies Submit Their Regulatory Plans?

<u>The deadline for submission of all completed Plan materials is August 31, 2001.</u>

Agencies should submit the required documents to the Regulatory Information Service Center (MI), General Services Administration, 1800 F Street NW., Suite 3039, Washington, DC 20405; telephone (202) 482-7340.

RISC will forward agency regulatory plans to OIRA. Within 10 days of receipt, OIRA will send a copy of each agency's regulatory plan to other interested agencies, the Regulatory Policy Advisors, and the Vice President for review. If you wish to receive a copy of another agency's Plan submission, please notify RISC.

Agencies will have the opportunity to change or add to their initial submissions based on the comments they receive. In addition, the schedule for planned regulatory actions may change, or the agency may complete additional economic analysis or risk assessment that would contribute to a more informative description of the planned regulatory action.

GPO will bill each agency for the cost of printing its portions of *The Regulatory Plan* and the Unified Agenda. Because the Plan and the Unified Agenda are submitted by RISC to GPO for publication in a fully coded format, agencies receive a discount from GPO's regular charges.

How Can Agencies Obtain Further Information?

For further information concerning the content requirements of agency regulatory plans, contact your agency's desk officer in the Office of Information and Regulatory Affairs, Office of Management and Budget.

For further information concerning automated production, information requirements, format, or submission of materials, contact the Regulatory Information Service Center; telephone (202) 482-7340.