

## ROCIS ICR Module Features

Agency Information Collection Requests as well as requests for change, discontinuation, transfer, and emergency extension will be accomplished through screen entry at password-protected ROCIS.gov.

Electronic in-boxes will enable agency and OIRA users to track their created, pending, and concluded actions as they occur. Users will have access to accounts in accordance with privileges authorized by an Agency's CIO and subsequently by his/her identified liaison to OIRA.

Draft screen designs are available for your review, although, please note they are subject to change.

Application Design: <http://192.136.12.246/rocis/prototype/index.html>

Public Website Design: <http://192.136.12.246/rocis/public/prototype/>

Data from the current OIRA data base of ICR actions will be migrated into the new system. Search and report functions will be available to authorized users of ICR records from 1981 forward.

Pending and concluded ICR packages, historical statistics, and search capability will be accessible to interested parties in the public via the ROCIS public website, RegInfo.gov.

In keeping with OIRA's policy of transparency and accessibility, reports will also be available in XML (Extensible Markup Language) as they currently appear at the OMB website at <http://www.whitehouse.gov/omb/inforeg/xmlreports.html>. ROCIS ICR Module XML schema will be registered. XML interface will be attempted and tested with HHS.

Notices of Action (NOAs) to Agency CIOs will be posted in ROCIS--viewable, printable and downloadable-- immediately upon OIRA's conclusion action. They will also be posted to the ROCIS public website, RegInfo.gov. This feature replaces e-mailing of NOAs to agency clearance officers.

On-line help, quality control checks for completion and accuracy and error messages will guide users through screen data entry. A training double of the ICR Module will be available for test runs for new users. Orientation and security briefings will be held prior to launch as well.

Burden calculator worksheets will guide agency users to reach accurate, consistent annual burden hours and costs for information collections.

OMB Control Numbers will be assigned at OIRA approval. Each ICR will be assigned an ICR tracking number. ROCIS will also accommodate Agency-specific tracking numbers.

Other new data elements:

- Privacy Impact Assessment checkbox
- Privacy Act System of Records
- FEA Business Reference Model Line of Business
- Level of Electronic Interaction
- URLs
- E-Forms data items (which will populate E-Forms data base via XML interface)
- A short "notes" field for intra-agency routing/review notations  
(Routing notations will be tracked and available for Agency use but not viewable by OIRA. OIRA sign-offs will be tracked; not viewable to Agencies.)

Documents that were attached to the 83I in the paper system will now be uploaded electronically:

- Supporting Statement A; Supporting Statement B
- IC instruments such as questionnaires, forms, handbooks, instructions, etc.
- Public comments

Citations replace attachments:

- Entry of Federal Register citations enables review of time line
- Entry of Statutory citations verifies burden changes due to new statute
- Entry of CFR citations

When ICRs are associated with rulemaking, agency will enter the Regulatory Information Number (RIN), which will enable a link to the RIN in the Regulatory Review and Agenda modules of ROCIS.

When agencies indicate that the ICR contains surveys, censuses, or employs statistical methods, the system will assign an OIRA statistician to the request and will place the request in the Statistician's inbox. Likewise, the OIRA Privacy Officer will receive requests when checkboxes indicate Privacy Impact Assessments and Privacy Act System of Records.

ROCIS will record the certifying official and/or designee acting on behalf of the certifying official for each ICR submission in accordance with 5 CFR 1320.9.

### **Information Collections**

- An Information Collection Request (ICR) (formerly an 83I) will be composed of one or more information collections (ICs). Data will be collected about the IC and about the ICR.
- An IC is a set of questions or requirements generally posed to or imposed on a set of respondents as a group.
  - The simplest IC to relate to is a form or questionnaire, but it is not limited to forms.
  - The agency will also be able to describe the IC by providing one or more CFR citations.

### **Burden**

- Burden will be tracked at the IC level and summed at the ICR level.
- Each IC will have time and cost burden breakouts for reporting, recordkeeping, and third-party disclosures--reported per response.
- Each IC will have a single reported frequency (i.e., annual responses per respondent).
- Each IC will have a calculated number of annual responses based on the number of respondents and the frequency.
- Each IC will reflect burden change categories as in the ICB
- Explanations for burden change will be captured for review and inclusion in the ICB.

### **Pre-Approvals**

- A Desk Officer will be able to conclude ICRs associated with a proposed rule as either Pre-approved or Comment Filed.
- If there is no change between the proposed and final rule, the agency will be able to activate a pre-approval into an approval and the OIRA desk officer has "preapproved" the collection.
- The inventory will not count the burden of pre-approvals until they are activated.

### **Common Forms**

- An originating agency of a form can designate the form as a common form available for other agencies' use.
- Once approved, other agencies can create ICRs incorporating a common form. The using agencies will specify the number of respondents specific to their use.
- Burden for use of the common form will be charged to the agency using the form rather than to the form's originating agency.

### **Generic Clearances**

- An agency can request a generic ICR for a burden budget with no ICs at the time of request.
- Subsequent to OIRA approval of the generic ICR, the agency will submit the generic IC and the Desk Officer will review and conclude review of the generic IC in ROCIS rather than via e-mails.
- The Desk Officer will be able to specify parameters for clearance of ICs at time of ICR review -- to have ICs automatically approved after a specified number of days; or -- to have ICs reviewed w/o automatic approval.
- The generic ICR budget and the total burden of approved generic ICs will be tracked as ICs are approved.