# The Reg Map

## Informal Rulemaking

### **Step One**

#### Initiating **Events**

#### **Agency Initiatives**

Agency initiatives for rulemaking

- originate from such things as:
- Agency priorities and plans
- New scientific data New technologies

Accidents

**Required Reviews** 

### **Statutory Mandates**

**Recommendations from** Other Agencies/External **Groups/States/Federal Advisory Committees** 

Lawsuits

**Petitions** 

**OMB Prompt Letters** 

### **Step Two**

#### **Determination** Whether a Rule Is Needed

**Administrative Procedure** 

**Act Provisions** 

Under the Administrative Procedure

Act provisions that are included as

part of the Freedom of Information

Act at 5 U.S.C. 552, agencies are

required to publish in the Federal

Substantive rules of general

Statements of general policy

Register

Using The Reg Map

The Reg Map is based on general requirements.

In some cases, more stringent or less stringent

requirements are imposed by statutory provisions

that are agency specific or subject matter specific.

Also, in some cases more stringent requirements

proceed from step one through step nine with a

However, if a rulemaking action is exempt from

the proposed rulemaking procedures under the

Administrative Procedure Act provisions

statutory authority, an agency may:

through six, or

by the agency.

(explained under step three) or under other

• promulgate a final rule omitting steps three

promulgate an interim final rule omitting steps

three through six, but providing a comment

Also, if an agency determines that a rule likely

would not generate adverse comment, the

agency may promulgate a direct final rule,

omitting steps three through six, but with a

duty to withdraw the rule if the agency receives

adverse comments within the period specified

period and a final rule after step nine.

In a typical case, a rulemaking action would

are imposed by agency policy.

proposed rule and a final rule.

applicability

Interpretive rules

• Rules of procedure

Information about forms

Information concerning

methods of operation

agency organization and

A notice of proposed rulemaking proposes to add, change, or delete regulatory text and contains a request for public comments.

**Step Three** 

**Preparation of** 

**Proposed Rule** 

**Proposed Rule** 

#### **Administrative Procedure Act Provisions**

Under the Administrative Procedure Act provisions at 5 U.S.C. 553, rules may be established only after proposed rulemaking procedures (steps three through six) have been followed, unless an exemption applies. The following are exempted:

- Rules concerning military or
- foreign affairs functions • Rules concerning agency
- management or personnel • Rules concerning public property, loans, grants,
- benefits, or contracts • Interpretive rules
- General statements of policy
- Rules of agency organization,
- procedure, or practice • Nonsignificant rules for which the agency determines that
- public input is not warranted • Rules published on an emergency basis

Note: Even if an exemption applies under the Administrative Procedure Act provisions, other statutory authority or agency policy may require that proposed rulemaking procedures be followed.

#### **Optional Supplementary Procedures to Help Prepare a Proposed Rule**

#### **Advance Notice of Proposed Rulemaking**

An advance notice of proposed rulemaking requests information needed for developing a proposed rule.

#### **Negotiated Rulemaking** Negotiated rulemaking is a mechanism under the Negotiated Rulemaking Act (5 U.S.C. 561-570) for bringing together representatives of an agency and the various interests to negotiate the text of a

proposed rule.

## **Step Four**

#### **OMB** Review of **Proposed Rule**

#### **OMB Review Under Executive Order 12866**

OMB reviews only those rulemaking actions determined to be "significant."

Independent agencies are exempt from OMB review.

## **Step Five**

#### **Publication of Proposed Rule**

#### **Administrative Procedure Act Provisions**

The Administrative Procedure Act provisions at 5 U.S.C. 553 require proposed rules to be published in the Federal Register.

### **Step Six**

#### **Public Comments**

#### Comments

Under the Administrative Procedure Act provisions of 5 U.S.C. 553, an agency must provide the public the opportunity to submit written comments for consideration by the

As required by Public Law No. 107-347, agencies must provide for submission of comments by electronic means and must make available online the comments and other materials included in the rulemaking docket under 5 U.S.C. 553 (c).

Executive Order 12866 established 60 days as the standard for the comment period.

The holding of a public hearing is discretionary unless required by statute or agency policy.

#### Regulatory Planning and Review (E.O. 12866)

**Specific Analyses for Steps Three and Seven** 

Would the rule have a \$100 million annual impact, raise novel issues, and/or have other significant impacts?

Prepare economic impact analysis.

Prepare regulatory flexibility analysis.

#### Regulatory Flexibility Act (5 U.S.C. 601–612)

→ If yes Is a notice of proposed rulemaking required by law?

Would the rule "have a significant economic impact on a substantial number of small entities"?

Note: Under limited circumstances analyses also are required for certain interpretive rules involving internal revenue laws (5 U.S.C. 603, 604).

#### Paperwork Reduction Act (44 U.S.C. 3501-3520)

Does the rule contain a "collection of information" (reporting, disclosure, or recordkeeping)?

(adjusted annually)?

preempt State law?

human environment?



Prepare information collection clearance package for OMB review and approval, and prepare request for public comments.

#### Unfunded Mandates Reform Act (2 U.S.C. Chs. 17A, 25)

Does the rulemaking process include a proposed rule? 

If yes

Does the rule include any Federal mandate that may result in the expenditure (direct costs minus direct savings) by State, local, and tribal governments, in the aggregate, or by the private sector, of \$100 million in any one year

Prepare unfunded mandates analysis (unless an exclusion applies).

#### **Federalism (E.O. 13132)**

Is the rule a discretionary rule that has federalism implications and imposes substantial unreimbursed direct compliance costs on State and local governments?

Does the rule have federalism implications and

→ If yes If yes

Prepare federalism summary impact statement. Prepare federalism summary impact statement.

#### **Indian Tribal Governments (E.O. 13175)**

Is the rule a discretionary rule that has tribal implications and imposes substantial unreimbursed

direct compliance costs on Indian tribal governments? Does the rule have tribal implications and preempt tribal law?

→ If yes → If yes Prepare tribal summary impact statement.

Prepare tribal summary impact statement.

#### National Environmental Policy Act (42 U.S.C. 4321–4347)

Is the rule categorically excluded from review? Does the rule constitute a major Federal action that could significantly affect the quality of the

→ If no

Prepare environmental assessment or environmental impact statement, as

#### National Technology Transfer and Advancement Act (15 U.S.C. 272 note)

Does the rule contain provisions for which the use of voluntary standards is applicable?

→ If yes

Adopt voluntary consensus standards or

#### **Governmental Actions and Interference with Constitutionally Protected Property Rights (E.O. 12630)**

Does the rule regulate private property use for the protection of public health or safety?

Is the rulemaking a proposed regulatory action that has takings implications (other than regulating private property for the protection of public health and safety)?

If yes

If yes

Prepare takings analysis.

Prepare takings analysis.

appropriate.

#### Protection of Children from Environmental Health Risks and Safety Risks (E.O. 13045)

Is the rulemaking a "covered regulatory action"?



Prepare analysis of the environmental health or safety effects on children.

#### **Actions Concerning Regulations That Significantly Affect** Energy Supply, Distribution, or Use (E.O. 13211)

Is the rulemaking action a "significant energy action"? 

If yes



Prepare statement of energy effects.

### **Step Seven**

#### **Preparation of** Final Rule, **Interim Final** Rule, or Direct **Final Rule**

#### **Final Rule**

A final rule adds, changes, deletes, or affirms regulatory text.

#### **Special Types of Final Rules**

#### **Interim Final Rule**

An interim final rule adds, changes. or deletes regulatory text and contains a request for comments. The subsequent final rule may make changes to the text of the interim

#### **Direct Final Rule**

A direct final rule adds, changes, or deletes regulatory text at a specified future time, with a duty to withdraw the rule if the agency receives adverse comments within the period specified by the agency.

### **Step Eight**

#### **OMB Review** of Final Rule, **Interim Final** Rule, or Direct Final Rule

#### **OMB Review Under Executive Order 12866**

OMB reviews only those rulemaking actions determined to be "significant."

Independent agencies are exempt from OMB review.

### **Step Nine**

**Publication of** Final Rule, **Interim Final** Rule, or Direct Final Rule

#### **Congressional Review Act** (5 U.S.C. 801-808)

An agency must submit most final rules, interim final rules, and direct final rules, along with supporting information, to both houses of Congress and the General Accounting Office before they can take effect.

Major rules are subject to a delayed effective date (with certain

Action by Congress and the President could have an impact on the rule.

#### **Administrative Procedure Act Provisions**

Under the Administrative Procedure Act provisions that are included as part of the Freedom of Information Act at 5 U.S.C. 552, agencies are required to publish final rules, interim final rules, and direct final rules in the Federal Register.

#### **Federal Register Act** (44 U.S.C. 1501-1511)

The Federal Register Act at 44 U.S.C. 1510 (implemented at 1 CFR 8.1) requires rules that have general applicability and legal effect to be published in the Code of Federal Regulations.

#### **Drafting** Requirements for Rulemaking **Documents**

#### **Regulatory Planning and** Review (E.O. 12866)

Rulemaking documents must comply with the specified regulatory philosophy and principles of regulation.

#### **Civil Justice Reform** (E.O. 12988)

Rulemaking documents must be written in clear language designed to help reduce litigation.

#### **Presidential Memorandum** on Plain Language (63 FR 31885)

Rulemaking documents must comply with plain language principles.

#### **Federal Register Publications**

Rulemaking documents must comply with the Federal Register regulations (1 CFR). Additional guidance and requirements are contained in the Federal Register's Document Drafting Handbook.

#### Agendas for **Rules Under Development or** Review

#### **Unified Regulatory Agenda**

The Unified Regulatory Agenda provides information concerning agency rules under development or review.

The Unified Regulatory Agenda is published in the Federal Register in the spring and fall of each year.

#### **Regulatory Plan**

The Regulatory Plan provides information concerning the most important significant regulatory actions that the agency is planning to take.

The Regulatory Plan is published in the Unified Regulatory Agenda in the fall of each year.

#### **Regulatory Flexibility** Agenda

The Regulatory Flexibility Agenda provides information concerning any rule that an agency expects to prepare or promulgate that is likely to have a significant economic impact on a substantial number of small entities.

Agency regulatory flexibility agendas are published as part of the Unified Regulatory Agenda in the spring and fall of each year.

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