Rules Management System – USER GUIDE

The Rules Management System (RMS) is the electronic filing system for administrative rules and assumes the functionality of the former Administrative Rules Terminal (ART) System. RMS is managed by the Legislative Services Agency and housed in the Legislative Portal.

Use the following links to jump to a section for quick reference or follow the steps in sequence to create and locate filings:

- Log in to Rules Management System
- Home Screen
- Rule-Making Role for Multiple Agencies
- Create a Filing
- Explanation of Action Icons
- Edit Unfinished Filing
- Manage Public Hearings
- Manage Agency Contacts
- Filing Returned for Feedback
- Withdraw a Filing
- Double-Barrel Filing
- Locate a Filing
- FAQ
- Waivers/Variances - USER GUIDE
- Non-Rule-Making Submissions - USER GUIDE

Important Contacts

For technical questions or assistance accessing the Rules Management System, contact the LSA Help Desk at 281.6506.

For procedural questions (dates, requested responses, etc.), direct questions to:

**Governor’s Office:**

725.3506

**Administrative Rules Review Committee Legal Counsel:**

281.6048 Jack Ewing

725.7354 Amber Shanahan-Fricke

**Administrative Code Office:**

281.3355
Log in to Rules Management System
Log in at www.legis.iowa.gov/portal/rms

Select Rules Management System from list of applications in the left navigation pane:
Home Screen

Home screen displays both draft and submitted filings for the selected publication date.

Click “New Filing” to create new.
Click “My Filings” for record of recent filings.

Home screen shows the status of all filings for selected publication date and, if checked, the previous publication date (defaults to current publication).

Quick link to RMS User Guide.

Interprets Schedule for Rule Making and calculates rule filing dates based on publication date or projected effective date.

Filtered to agency’s rule makings. Illustrates filing status and associated documents and action(s).

Reports invalid Code references in administrative rules.

All other sections and functions are explained herein.
Rule-Making Role for Multiple Agencies
If you have rule-making permissions for multiple agencies, select the agency for which you intend to create a filing or for which you wish to search filings. Only filings for that agency will display, and any filings created will be created on behalf of the selected agency.
Create a Filing
To create a filing:

1. Select a publication date from the dropdown on the home screen.
2. Click **New Filing** in the yellow box in left navigation panel.
   (To change the filing type at any time, click “Reset Filing Form.”)

3. Select rule-making filing type from the dropdown.

   Notice of Intended Action or Adopted and Filed Emergency will display form fields for entry.

   All other rule-making types are built on previously published Notices; entering ARC number of that Notice will populate several fields and display new fields for entry.

   *For filing types that request a Notice ARC #:* If user does not know the ARC#, it can be found in Rule-Making Records.

   *For filing types that request a Rule Title:* If the precise title is not known, typing some of the known content will generate suggestions based on the agency’s previous filings.

   To change the filing type at any time, click **Reset Filing Form**.

Responses to filing form fields are intended to generate the preamble to your rule-making document, which will be published in the Iowa Administrative Bulletin (effective with January 17, 2018, IAB). Ensure your explanations are complete and responses are accurate. The generated preamble will be edited and formatted by LSA in preparation for publication.
Required fields vary based on rule-making filing type. Click the Help icon to view completed sample filing forms.

<table>
<thead>
<tr>
<th>Agency</th>
<th>Fiscal Impact</th>
<th>Attached Document</th>
</tr>
</thead>
<tbody>
<tr>
<td>Filing type*</td>
<td>Notice of Intended Action</td>
<td></td>
</tr>
<tr>
<td>Rule Title*</td>
<td>This information will be used to identify this filing prior to ARC# assignment.</td>
<td></td>
</tr>
<tr>
<td>Shortened name of agency or rule-making body</td>
<td>e.g., Board, Department, Commission</td>
<td></td>
</tr>
<tr>
<td>Contact Person*</td>
<td>To update information for or to add a contact person, use Agency Contacts in Rules Management Navigation.</td>
<td></td>
</tr>
<tr>
<td>Publication date*</td>
<td>Draft only</td>
<td></td>
</tr>
<tr>
<td>Designee with rule-making authority</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Statutory delegation of rule-making authority*</td>
<td>Iowa Code chapter/section 90.3</td>
<td>Click to add secondary contact person/phone/email(optional)</td>
</tr>
<tr>
<td>Statute this rule is intended to implement*</td>
<td>Iowa Code chapter/section 90.3</td>
<td>Click the + button to save each reference.</td>
</tr>
<tr>
<td>Chapter(s) affected*</td>
<td>Click to select or add</td>
<td></td>
</tr>
<tr>
<td>Is this rule mandated by federal or state law?*</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>Purpose and summary of rule making*</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Please describe who this rule will positively or adversely impact*</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reference ARC#</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Public comment deadline*</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Public comment contact person*</td>
<td>Select</td>
<td></td>
</tr>
<tr>
<td>Is a public hearing scheduled?*</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>Does this rule contain a waiver provision?*</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>Is there an anticipated jobs impact?**</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Hover over the label for any field for an explanation of required info.

To navigate through the three required sections, click the tabs at top or the Next button in bottom right.

Click to save at any point in process.
4. Click Fiscal Impact tab.

Select Fiscal Impact contact person from the dropdown. To add or edit a contact person, save the unfinished filing and select Agency Contacts from the Rule Management Navigation. In the Fiscal Impact tab, select the applicable fiscal impact, provide an explanation as applicable, and upload supporting documentation if necessary.

If the last radio button is selected, the Upload Explanation(s) field will be required.
5. Click **Attached Document** tab to generate the preamble and upload the rule-making document.

The preamble must be generated for review before the checkbox and **Submit Filing** button will be enabled. Once the preamble is previewed, the checkbox and submit button will be enabled and the filing may be submitted.

Only one rule-making attachment is permitted. If you need to update the document, the previously uploaded document will be replaced.
7. When preamble is reviewed and upload is complete, verify all information, check the box, and click Submit Filing. When your filing has been submitted, you will receive the following, along with a confirmation email.

Filing Submitted
Your filing has been submitted. Status and updates can be viewed under My Filings.

Notices of Intended Action are reviewed by the Governor’s Office prior to routing to the Administrative Code Office (ACO) for publication in the Iowa Administrative Bulletin and Iowa Administrative Code.

All other rule makings are reviewed for style and form by the Administrative Code Office prior to publication.

If the Governor’s Office or ACO provide or request feedback, you will receive an e-mail, and the tracking information in My Filings will reflect the exchange.

Click here to return to My Filings.
Explanation of Action Icons

Expand the Action icons from any table. Availability of Action icons depends on the status of the filing.

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**Agency**

Year: 2016 (1/1/2016 - 12/31/2016)

Publication Date: 10/25/2016

Check this check box to get filings for previous publication date.

**My Filings**

<table>
<thead>
<tr>
<th>Type</th>
<th>ARC</th>
<th>Short Description</th>
<th>Publication Date</th>
<th>Status</th>
<th>Contact</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>*** No filings for the selected publication date ***</td>
</tr>
</tbody>
</table>

**Governor’s Office**

<table>
<thead>
<tr>
<th>Type</th>
<th>ARC</th>
<th>Short Description</th>
<th>Publication Date</th>
<th>Status</th>
<th>Contact</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>*** No filings for the selected publication date ***</td>
</tr>
</tbody>
</table>

**Administrative Code Office (ACO)**

<table>
<thead>
<tr>
<th>Type</th>
<th>ARC</th>
<th>Short Description</th>
<th>Publication Date</th>
<th>Status</th>
<th>Contact</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>AF</td>
<td>2768C</td>
<td>2768C</td>
<td>10/12/2016</td>
<td>In Process 09/22/2016</td>
<td></td>
<td></td>
</tr>
<tr>
<td>AF</td>
<td>2772C</td>
<td>2772C</td>
<td>10/12/2016</td>
<td>In Process 09/23/2016</td>
<td></td>
<td></td>
</tr>
<tr>
<td>NOIA</td>
<td>2776C</td>
<td>2776C</td>
<td>10/12/2016</td>
<td>In Process 09/23/2016</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Edit Unfinished Filing
Save an unfinished filing at any time. To return to the filing, expand the Action icons in the My Filings table and click the View/Edit Filing icon.

Once a filing is submitted:

- Notices of Intended Action and Adopted and Filed Emergency filings are routed to the Governor’s Office for pre-clearance before routing to ACO
- All other rule-making types are routed to ACO and appear in the Administrative Code Office (ACO) table.
Public Hearings
To facilitate the provision of public hearing location details when completing filing forms, hearing locations are maintained in RMS.

If a hearing location is not included in the list of saved locations for the agency, save the unfinished filing, then add the location in the Public Hearings Locations section.
Manage Public Hearing Locations
One collection of Public Hearing Locations contains the list of locations available when creating public
hearings associations in rule-making filings. Public hearings locations from filings for the past several
years have been imported in order to be accessible for future filings and to maintain complete
information when generating records of past filings.

To update or add new locations, select Public Hearing Locations from Rules Management Navigation.

- Click the Edit icon to supplement information with the current record; save location details.
- To mark no-longer-used locations as inactive, click the Status icon. Note that the Status filter
  above the table may be changed to show either Active or All locations.
- To create a new location, use “Add location” (blue plus icon above the table). The newly added
  location will be available in the dropdown in the filing form when creating a new rule-making.

Agency Contacts
To make a selection, expand the dropdown menu and choose from the available contacts.

If a contact person is not available in the dropdown or not available for selection, save the unfinished
filing and select the Agency Contacts section from the Rules Management Navigation.
Manage Agency Contacts

One collection of Agency Contacts contains the list of persons to be available when supplying the rule-making contact person, secondary contact person if applicable, fiscal impact contact person, and public comment contact person. Agency contacts from filings for the past several years have been imported in order to be accessible for future filings and to maintain complete information when generating records of past filings.

If a contact person is not available in the dropdown or not available for selection in a filing form, save the unfinished filing and select the Agency Contacts section from the Rules Management Navigation.

In Agency Contacts:

- Click the Edit icon to supplement information with the current contact record and save changes.
- Click the Clone icon to create a new contact based on information for an existing contact. Use this as a quick way to create a contact and edit information that may be not be edited in an existing record.
- To mark contacts as inactive, click Status icon. Note that Status filter above the table may be changed to show either Active or All contacts.
- To create a new contact, use “Add Contact” (blue plus icon above the table). Save the information and as applicable, return to My Filings and edit the draft filing. The newly added contact person will be available in the contact dropdowns in filing forms.
Filing Returned for Feedback
If a filing is returned by the Governor’s Office or a request is made by ACO, you will receive an alert email with directions to resubmit the filing in RMS. In RMS, the filing will reappear in the My Filings section.

Any comments will appear in both your email message and the Tracking section. Click the Filing Tracking icon to expand the section and view comments.

To resubmit the rule-making filing, click the View/Edit icon in the Action field. Update the filing form, attach a new document if necessary, check the Submit for Filing box, and click Submit Filing.
**Withdraw a Filing**

A filing may be withdrawn at any time. If the filing has not yet been accepted by ACO,* withdrawal may be requested in RMS.

Expand the Action icons and select Withdraw Filing:

When withdrawal is requested, the Governor’s Office will receive an email alert. When the Governor’s Office confirms the request for withdrawal, the contact person for the agency will receive a confirmation message.

*If filing has NOT been accepted by ACO, status column will read simply “Administrative Code Office.”

If the filing has been accepted by ACO (status column reads “In Process”), initiate a phone call or email to the Governor’s Office and ACO to request withdrawal.

**Double-Barrel Filing**

For expediency when creating double-barrel filings (when Notice of Intended Action and Adopted and Filed Emergency are published simultaneously), create the Notice of Intended Action first. Following submission of the Notice, create the Adopted and Filed Emergency, using the Rule Title for the Notice (since ARC # is not yet known) to populate shared fields.

A double-barrel may also be created by filing the Adopted and Filed Emergency first, but shared fields will not populate from the Adopted and Filed Emergency to the Notice.
Locate a Filing

View Rule-Making Records

Search for a filing by ARC number, keyword, or chapter. Adjust the year picker as necessary. Filter views by clicking column headings to resort displayed data.
FAQ

Who can I contact with feedback or suggestions for the RMS application?

Please email the LSA Project Team at LSAPrjectTeam@legis.iowa.gov.

Is all of the data from the decommissioned ART system available in the new RMS application?

Yes, all data from ART has been imported into RMS.

Can I submit a filing past the submission deadline?

While a filing may be submitted in RMS, be advised that late filings may not be accepted without prior approval from the Governor’s Office or Administrative Code Office.

How do I create a filing?

Select the yellow New Filing button at the top of the left margin, then select a rule-making type from the dropdown. Supply information in all required fields and click Submit Filing.

How do I determine the status of my filing?

In the Home Screen/My Filings table, filings in the Governor’s Office table are in queue in the Governor’s Office, awaiting preclearance.

If a filing is in the Administrative Code Office (ACO) table and the Status column reads “Administrative Code Office,” the filing is awaiting check-in by ACO. If the Status column reads “In Process,” the filing is being processed for publication.

How do I revise information I provided in the filing form?

If the filing has been submitted, the filing must be returned to the Agency in order for information in the filing form to be updated. So long as the filing status does not read “In Process,” the filing may be returned to the Agency for feedback or revision.
I created a draft filing. Where do I find it?

The draft filing will be located in the **My Filings** table. Status will read “Draft.”

I received a message that my NOIA rule making is not yet eligible for filing. Why not?

Date fields (comment deadline, public hearing, adoption and effective dates) are subject to compliance checks against the Schedule for Rule Making. The compliance check is based on the publication date selected and, for Adopted and Filed rule makings, is also based on the publication date of the Notice of Intended Action.

I don’t know the ARC number of my NOIA rule making; how can I create a filing based on that Notice?

Use the **Rule Title** field to type a keyword or phrase for the rule making; select from the generated suggestions. Or use the **Rule-Making Records** section and search by keyword or chapter affected, or sort the page to view results by publication date.

What is the difference between statutory designee, delegation of rule-making authority, and statute intended to implement?

**Statutory designee:** Name of the entity with statutory rule-making authority. Usually “Board,” “Commission,” “Council,” “Director,” or the like.

**Delegation of rule-making authority:** Reference to statutory delegation of rule-making authority. Usually an Iowa Code or Iowa Acts reference.

**Statute intended to implement:** Reference to statute the rule making is intended to implement. Usually an Iowa Code or Iowa Acts reference or reference to federal statute or rule.

When is the ARC number assigned?

The time of ARC number assignment depends on the rule-making type:

**NOIA and AFE:** ARC number is assigned by the Governor’s Office upon preclearance.

**All other rule-making types:** ARC number is determined upon ACO’s acceptance of the rule making for publication.

When a filing receives an ARC number, an email is triggered to notify agency of the ARC number.
Rules Management System: Waivers/Variances – USER GUIDE

The Rules Management System (RMS) is the electronic filing system for administrative rules and waivers/variances and assumes the functionality of the former Administrative Rules Terminal (ART) System. RMS is managed by the Legislative Services Agency and housed in the Legislative Portal.

Use the following links to jump to a section for quick reference or follow the steps in sequence to create waiver/variance records and to generate reports:

- Public page for view/search
- Edit or Delete a Record
- Home Screen
- Locate a Record
- Filing Role for Multiple Agencies
- Generate Semiannual Reports
- Create a Record

Important Contacts

For technical questions or assistance accessing the Rules Management System, contact the LSA Help Desk at 281.6506.

For procedural questions (dates, requested responses, etc.), direct questions to:

- Administrative Rules Coordinator/Governor’s Office:
  725.3506

- Administrative Rules Review Committee Legal Counsel:
  281.6048  Jack Ewing
  725.7354  Amber Shanahan-Fricke

Public page for waiver/variance search

The public-facing page for waiver/variance reports and search capability is: www.legis.iowa.gov/law/administrativeRules/additionalInfo/waiverVariances.
**Home Screen**


**Filing Role for Multiple Agencies**

If you have filing permissions for multiple agencies, from the Home Screen, select the agency for which you intend to submit the waiver/variance record or for which you wish to search records. Only records for that agency will display, and any records created will be created on behalf of the selected agency.
Create a Record
To create a waiver/variance record:

1. Click “New Waiver/Variance” in the yellow box in left navigation panel.

2. Complete the record form.

Required fields are indicated with a red asterisk. Hover text is available over all field labels.

The Chapter dropdown will contain the agency’s current chapters. When a chapter is selected, the first number of the rule reference will populate.
When entering a Rule reference, typing will generate suggested text, though the suggestion may be overwritten. If suggested text is selected, the rule catchwords will display in the Topic field. That text may be amended if desired.

**Edit or Delete a Record**

The record’s information may be updated at a later date.

To edit the record, hover over the icon in the Action column. Click the Edit icon. Edit fields and click **Save Waiver** to update the record.

To delete the record, hover over the icon in the Action column and select the Delete icon.

**Locate a Record**

In Rules Management Navigation, click **Waivers/Variances**.
Your default view will be a list of the agency’s recorded waivers (including data imported from the former filing system). This view is searchable, and reports can be generated from this default screen.

Search for a record by a word or phrase or by rule number. Filter views by clicking an underscored column headings to resort displayed data.

**Generate Semiannual Reports**

For purposes of reporting to the Administrative Rules Coordinator and Administrative Rules Review Committee pursuant to Iowa Code section 17A.9A(5), reports may be generated using the Excel or PDF icons. (Please contact [LSA Project Team](mailto:LSA%20Project%20Team) with any requests for alternate formatting.)
The Rules Management System (RMS) replaced the now-decommissioned Administrative Rules Terminal (ART) System in October 2016. RMS is managed by the Legislative Services Agency and housed in the Legislative Portal. The Rules Management System is the system for electronic submission of administrative rules, as well as public notices and non-rule-making documents, for publication in the Iowa Administrative Bulletin (IAB).

Use the following links to jump to a section for quick reference or follow the steps in sequence to log in and process submissions:

- What are “non-rule-making submissions”?  
- Save Unfinished Draft
- Log in to Rules Management System
- Confirmation of Submission
- Navigate to Non-Rule-Making Submissions
- Feedback Loop
- Submit for Publication in IAB

**Important Contacts**

For technical questions or assistance accessing the Rules Management System, contact the LSA Help Desk at (515)281.6506.

For procedural questions (dates, requested responses, etc.), direct questions to:

- **Governor’s Office:**  
  725.3506

- **Administrative Rules Review Committee Legal Counsel:**  
  281.6048 Jack Ewing  
  725.7354 Amber Shanahan-Fricke

- **Administrative Code Office:**  
  281.3355

For questions about features or enhancements, please contact the LSA Project Team at LSAProjectTeam@legis.iowa.gov.
What are “non-rule-making submissions”?
Non-rule-making submissions include any document that is required to be published in the Iowa Administrative Bulletin and that does not contain rule-making action.

Non-rule-making document types include, for example, the following:

Advisory Notices
Civil Reparations Trust Fund
Gas and Electric Delivery Rates
Newspaper Rates
Notices of Stakeholder Group
Proclamations
Public Funds Availability
Public Funds Interest Rates
Regulatory Analysis
Request for Regulatory Analysis
Usury Rate
Utilities Notices
Workers Compensation Rates
Log in to Rules Management System

The Rules Management System is housed in the portal: www.legis.iowa.gov/portal/rms

Log in with your email address and password. (For password assistance, contact the LSA Front Office.)

Select Rules Management System from list of applications in the left navigation panel:
Navigate to Non-Rule-Making Submissions


To submit a non-rule-making document for publication in the IAB, click the yellow New Submission button. (To reset the record form at any time, click the same yellow button.)
Submit for Publication in IAB
Select a publication date from the publication date dropdown. For your information, the submission deadline for the publication date will appear based on the selected publication date.

Fill in all required fields, upload the non-rule-making document, check the verification checkbox, and click Submit for Publication.
Save Unfinished Draft
Save an unfinished Non-Rule-Making Submission draft at any time. Unfinished drafts are saved in the “Agency Submissions” table. To edit the draft and submit it, hover over the icon in the Action column. Select the Edit Non-Rule-Making Submission icon; complete the form, upload the document, check the checkbox, and click Submit for Publication.
Confirmation of Submission

Immediately following submission, this screen will be displayed:

![Submission Successful](image)

In addition, a confirmation email should be received:

![Email Example](image)

Upon submission of the Non-Rule-Making document for publication, ACO will receive an email alert, download the PDF, and incorporate the document in the Iowa Administrative Bulletin for the indicated publication date. If ACO has questions about the document intended for publication, you may receive an email indicating that feedback awaits your attention.
Feedback Loop

If ACO returns the submission record with feedback or a request, return to RMS [www.legis.iowa.gov/portal/rms](http://www.legis.iowa.gov/portal/rms). Ensure the publication date for which the document was submitted is selected in the publication date dropdown.

Locate the document in the “Agency Submissions” table. In the Action column:

1. Select the Non-Rule-Making Submission Tracking icon to view the feedback/request.
2. Select the Edit Non-Rule-Making Submission icon to edit form fields or change the attachment.
3. Click Submit for Publication to resubmit the document.