

TYPING/FILING REQUIREMENTS, TIPS, AND REMINDERS

A. WORD PROCESSING SOFTWARE

When preparing rules and documents that will be filed with the OAR for publication in the *Register*, the SOS's rules require that the filings be submitted using software that is "compatible with the software used for processing documents into the OAR's databases [OAC 655:10-7-2(1)(A)]. In practice, this means you can prepare your documents using any version of MSWord or WordPerfect, **as long as you can save the documents to a disk or cd in WordPerfect 6.1 or MSWord 2000, or earlier versions of either.** The tagging software (which was customized for the OAR "before the turn of the century" but continues to perform very successfully) works with WordPerfect 5.1 documents only, so the OAR continues to review and edit filings in WordPerfect 6.1, and then convert them to 5.1.

So, what's the bottom line????

- If you create your documents in WordPerfect, save them to the disk or cd in WordPerfect 6.1.
- If you create your documents in MSWord, save them to the disk or cd in MSWord 2000 or MSWord 6. (We prefer that you save your MSWord documents to the disk/cd in MSWord 2000, since we tend to have fewer conversion problems when converting them to WordPerfect.)

If you are not certain about the compatibility of your agency's software, contact the OAR. In some cases, it may be necessary for you to send us a test document before compatibility can be determined.

B. KEEP IT SIMPLE !!! (OR, *THINGS TO AVOID WHEN TYPING YOUR RULES AND DOCUMENTS*)

Remember that the files containing your rules and notices will be shared. They will be converted, tagged, and published in a different font and the two-column format of the *Register* and *Code*, with different tab/indentation settings . . . so it's very important to "KEEP IT SIMPLE." Here's some things to watch for:

In general . . . **AVOID USING** unusual word processing features/attributes that could be lost or misinterpreted when the document is shared, converted, and typeset in the *Register* and *Code*.

And, more specifically . . . **DON'T USE** the following [except in Appendices]:

- . Styles, character styles/sets, and macros
- . Smartquotes (for double quotes, single quotes, apostrophes, feet and inch symbols, etc.)
- . Bullets or automatic numbering
- . Automatic outlining
- . Index/table of contents codes
- . Unusual symbols or characters
- . Dot leaders and ellipses --- Instead, type a series of periods.
- . Font size/style variations
- . Centering (except when centering Title, Chapter, Subchapter, Part, and Appendix headings)
- . Hard returns between lines in a multi-line Title, Chapter, Subchapter, Part, or Appendix heading --- Instead, let the lines wrap naturally
- . Columns
- . Boxes or lines
- . Equation/formula boxes
- . Special mathematical/scientific symbols/features, unless absolutely necessary
- . Colors
- . Small caps
- . Line hyphenation
- . Underscoring for the division line in a fraction, formula, or equation (the underscoring will be lost when the programming removes strikeouts and underscoring for publication in the *Code*) --- Instead, use a slash or the words "divided by."

C. FORMAT/PAGE SETTINGS

Paper 8 1/2" x 11", White
 Margins:
 Left, right, top 1"
 Bottom 1"
 (allows room for page numbers)
 Spacing Single space
 (unless other spacing specifically required, such as double spacing between Sections)
 Font:
 Size 11 or 12
 Style Any standard type
 (such as Courier, Times Roman, Arial)
 Indention levels 1/2" increments
 Line hyphenation None/Off
 Justification Full or left
 Page numbering Bottom center
 Binding/duplexing None/Off

D. UNDERSCORING/STRIKEOUTS

In rules, strikeouts are used to identify language being deleted, and underscoring is used to identify new language.

As a general rule, when amending a word or series of words in a rule, the new word(s) should follow the deleted word(s). *For example:*

Licensees must be ~~18~~ at least 21 years of ~~age or older~~ old.

Amending subdivision designations in Sections - When amending subdivision designations (i.e., numbers or letters used in designating subsections, paragraphs, subparagraphs, units, and subunits), the preferred method (and the required method when the level of the subdivision is being changed) is to **strikeout** the entire number or letter, including the parentheses, and **underscore** the new number or letter, including parentheses.

For example:

~~(a)~~(b)
~~(1)~~(i)
~~(F)~~(3)
~~(ii)~~(iii)

E. IDENTIFYING RULES IN NOTICES AND PREAMBLES

1. **Listing Section taglines not required.** When listing section numbers in notices and preambles in rule documents, you don't actually have to include the taglines. If you do, however, the taglines must be accurate and they must include strikeouts and underscoring if taglines are being amended.
2. **30 or more sections/appendices . . .** When there are 30 or more sections or appendices in a rulemaking action, it's not necessary to list all the numbers in notices or preambles in rule documents. Instead, you can simply cite the Chapter number and heading, followed by the appropriate status (i.e., [NEW], [AMENDED], or [REVOKED]). If you do elect to list all the affected sections/appendices, however, they must be accurate.

Note: Although not required when there are 30 or more sections/appendices, we strongly recommend that, to avoid confusion, agencies do list all applicable Section and Appendix numbers in Notices of Gubernatorial Approval and Disapproval, Notices of Legislative Disapprovals, and Notices of Withdrawn Rules.

3. **Identifying applicable Subchapters/Parts.** When listing affected rules in notices and preambles in rule documents, be sure to include all applicable Subchapter and Part numbers and headings. The headings should match the headings as they currently appear in the *Code*, with strikeouts and underscoring if the headings are being amended.

F. FILING DOCUMENTS WITH OAR (FOR REGISTER PUBLICATION)

- **NOTICE DOCUMENTS** [NRI's, CAN's, CON's, SR's, GA's, GD's, LD's, WR's]:
 - **Contents** - Notice filings must include the following:
 - Transmittal sheet
 - Notice document (i.e., the notice itself)
 - **Number of copies** - The filings must be submitted in paper format and on disk or cd, as follows:
 - PAPER - At least one original. [Note: **Bring additional copies** if you want "received" stamped and "accepted" stamped copies for your files.] DO NOT STAPLE PAPER COPIES.
 - DISK/CD - One copy of the notice, copied to a disk or cd, with label identifying Title, Chapter, type of filing, and software/version used. [Note: The transmittal sheet should NOT be included on the disk/cd.]

- **RULE DOCUMENTS** [EME's (after approval by Governor)¹ and PER's (after final adoption)²]:
 - **Contents** - EME and PER filings must include the following, *in the order shown*:
 - Transmittal sheet
 - Governor's written approval (if emergency rules)
 - Rule document, which consists of:
 - Document heading, preamble, enacting clause, regulatory text
 - Attestation (on a separate page)
 - "Red-marked pages" (RMPs) or "Format-approved pages" (FAPs)
 - **Number of copies** - The filings must be submitted in paper format and on disk or cd, as follows:
 - PAPER - Two copies of transmittal sheet, Governor's written approval (if emergency rules), and rule document. One copy of RMP's or FAP's. [Note: **Bring additional copies** if you want "received" stamped and "accepted" stamped copies for your files.] DO NOT STAPLE PAPER COPIES.
 - DISK/CD - One copy of the rule document (minus the attestation), copied to disk or cd, with label identifying Title, Chapter, type of filing, and software/version used. [Note: The transmittal sheet, Governor's approval certificate (if applicable), and RMPs/FMPs should NOT be included on the disk/cd.]

¹ Emergency rules submitted to the Governor and Legislature are submitted as an "emergency rule document" (EME) --- i.e., the filing includes the document heading, preamble, enacting clause, proposed regulatory text, and attestation, accompanied by a transmittal sheet.

² Permanent rules submitted to the Governor and Legislature are NOT submitted as a "permanent rule document" (PER) --- i.e., the filing includes the proposed regulatory text (with strikeouts and underscoring), but does not yet include a preamble, enacting clause, attestation, or transmittal sheet.

For additional information about typing requirements, see 655:10-7-2 and 655:10-9-1.