USAID
FROM THE AMERICAN PEOPLE

Preparation of Documents for Electronic Submission to the Office of the Federal Register

An Additional Help Document for ADS Chapter 516

New Edition Date: 04/19/2019
Responsible Office: M/MS/IRD
File Name: 516sae_041919

The Federal Register Document Submission Portal lets agencies securely submit documents and emergency publication letters online. All Agency documents submitted through the portal must have a valid signature. The Office of the Federal Register will only accept documents signed using native Microsoft (MS) Word software that applies the users Public Key Infrastructure (PKI) certificate to the document, guaranteeing the authenticity of the signer and the document. Once applied, the document is protected and cannot be edited without removing the digital signature.

In order to prepare documents for publication, there are a few required steps. The metadata and macros must be removed from the Word document. Further, you must add an *Invisible Digital Signature*. Instructions to achieve each step are provided below.

Federal Register Documents

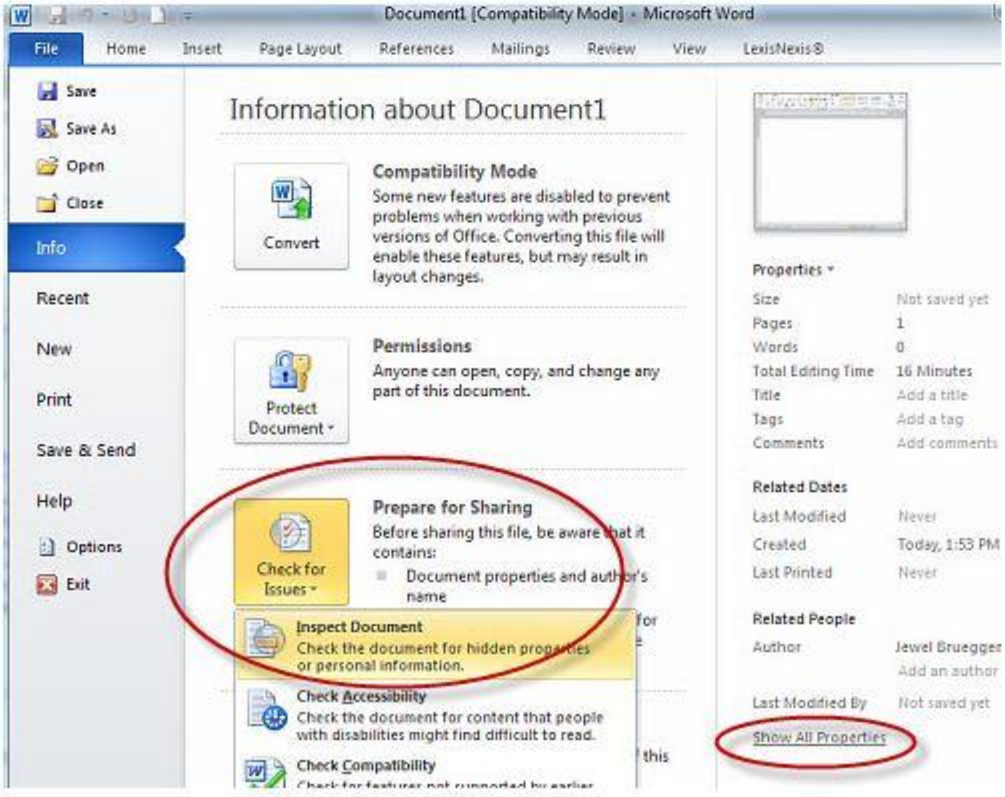
Draft documents to the *Office Federal Register (OFR)* as usual (i.e., prepare document(s) for publication).

- ❖ **Before submission, you must remove all metadata from the file(s).**

How to Remove Metadata in Word

Metadata. Metadata is hidden information embedded in a Word document and can include personal information about the author of the document. Metadata is not accepted on *OFR* electronic documents.

1) Click the **File** tab and click on **Info**, then **Check for Issues** and select **Inspect Document**. Optionally, to view the Personal Information click on **Show All Properties** to the right.



Information about Document1

Compatibility Mode
Some new features are disabled to prevent problems when working with previous versions of Office. Converting this file will enable these features, but may result in layout changes.

Permissions
Anyone can open, copy, and change any part of this document.

Prepare for Sharing
Before sharing this file, be aware that it contains:
- Document properties and author's name

Inspect Document
Check the document for hidden properties or personal information.

Check Accessibility
Check the document for content that people with disabilities might find difficult to read.

Check Compatibility
Check for features not supported by earlier

Properties

Size	Not saved yet
Pages	1
Words	0
Total Editing Time	16 Minutes
Title	Add a title
Tags	Add a tag
Comments	Add comments

Related Dates

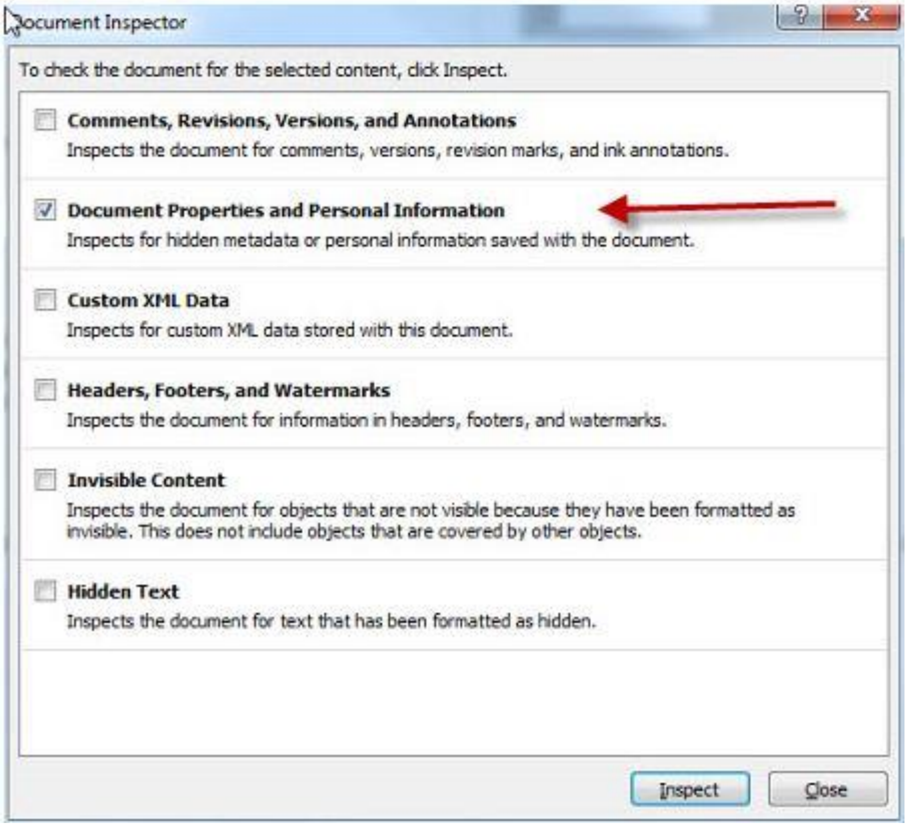
Last Modified	Never
Created	Today, 1:53 PM
Last Printed	Never

Related People

Author	Jewel Bruegger Add an author
Last Modified By	Not saved yet

Show All Properties

2) Select content you want Word to check for metadata. You must select **Document Properties and Personal Information**. All other options are dictated by what was used to draft your document.



To check the document for the selected content, click Inspect.

□ **Comments, Revisions, Versions, and Annotations**
Inspects the document for comments, versions, revision marks, and ink annotations.

☑ **Document Properties and Personal Information**
Inspects for hidden metadata or personal information saved with the document.

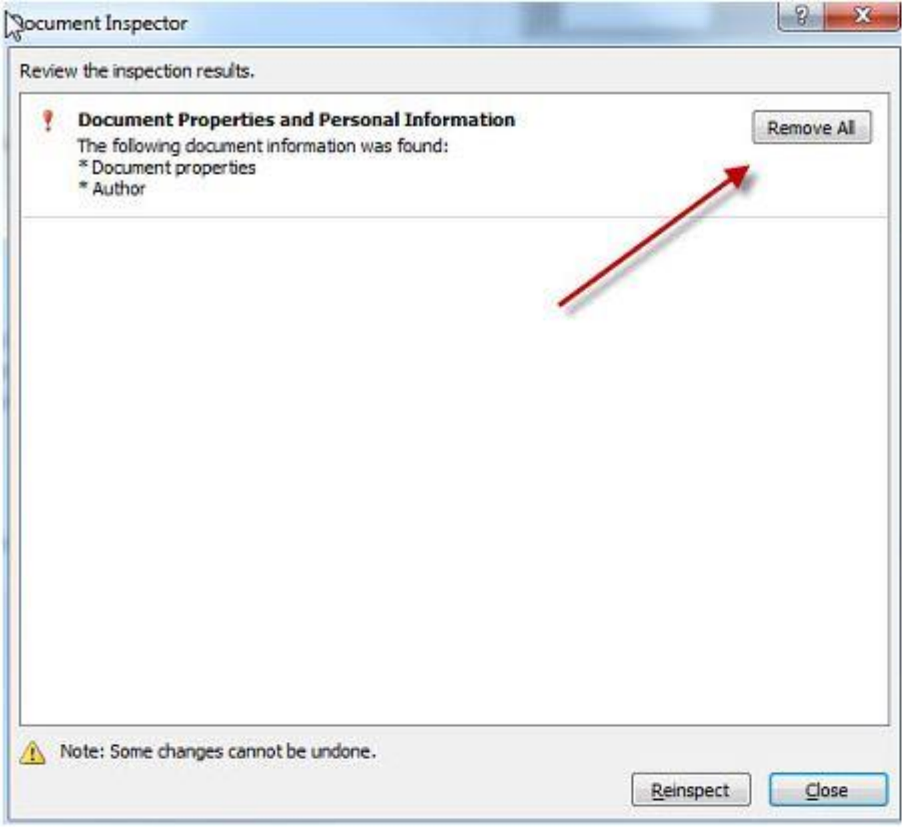
□ **Custom XML Data**
Inspects for custom XML data stored with this document.

□ **Headers, Footers, and Watermarks**
Inspects the document for information in headers, footers, and watermarks.

□ **Invisible Content**
Inspects the document for objects that are not visible because they have been formatted as invisible. This does not include objects that are covered by other objects.

□ **Hidden Text**
Inspects the document for text that has been formatted as hidden.

3) If Word finds metadata, it will prompt you to **Remove All**. Click **Remove All**.



Review the inspection results.

Document Properties and Personal Information
The following document information was found:
* Document properties
* Author

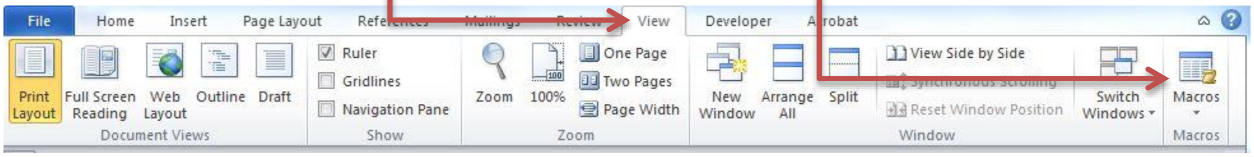
Note: Some changes cannot be undone.

- ❖ **Documents cannot have any comments or remaining "tracked" changes and the documents cannot have any enabled macros.**

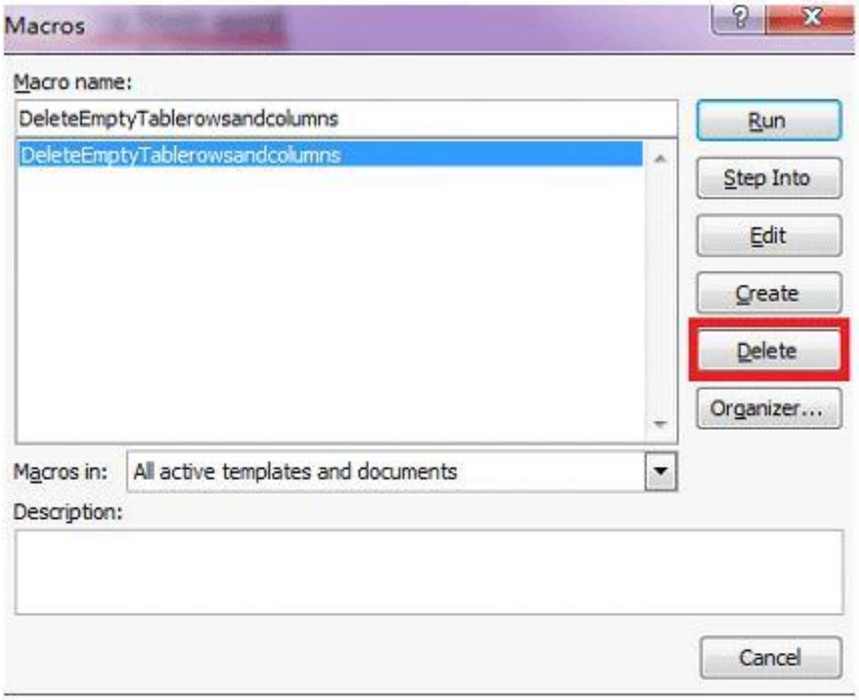
How to Remove Macros in Word

Macros. Macros are a set of computer instructions that will automatically run in Word, usually used to generate or format content.

1) Click **View** tab and then click **Macros** in the **Macros** group and **View Macros**.



2) Select each macro from drop down box, and then click **Delete**.


Macros

Macro name:

DeleteEmptyTablerowsandcolumns

DeleteEmptyTablerowsandcolumns

Macros in: All active templates and documents

Description:

Add Invisible Digital Signatures in MS Word

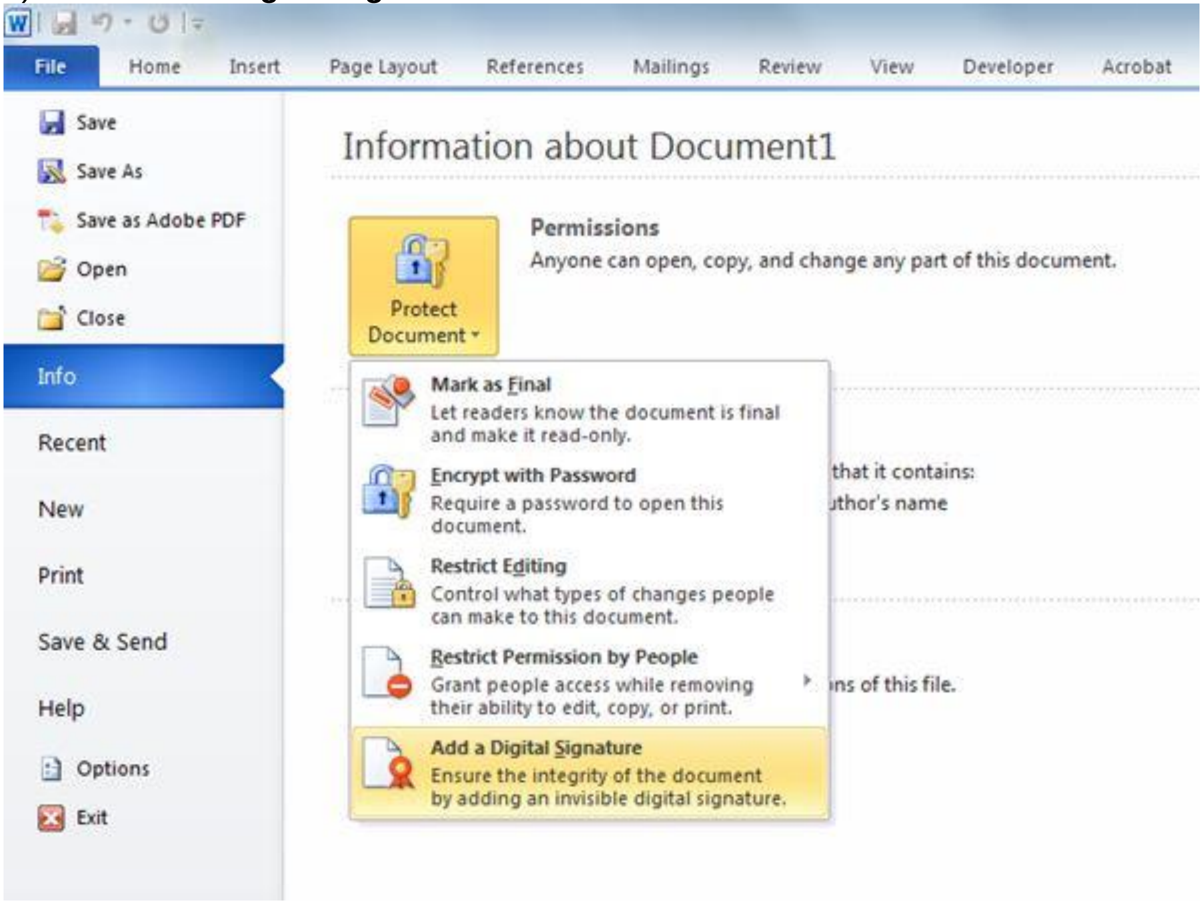
1) Open your MS Word document drafted for publication. Any changes must be saved prior to signing.

2) Click the **File** tab.

3) Click **Info**.

4) Click **Protect Document**.

5) Click **Add a Digital Signature**.



Information about Document1

Permissions

Anyone can open, copy, and change any part of this document.

Mark as Final
Let readers know the document is final and make it read-only.

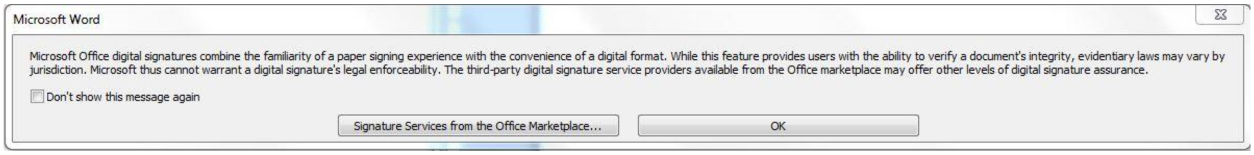
Encrypt with Password
Require a password to open this document.

Restrict Editing
Control what types of changes people can make to this document.

Restrict Permission by People
Grant people access while removing their ability to edit, copy, or print.

Add a Digital Signature
Ensure the integrity of the document by adding an invisible digital signature.

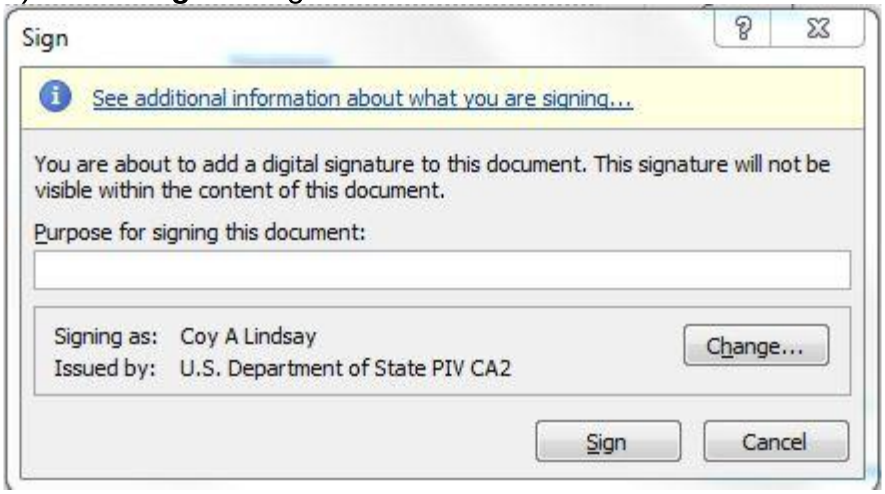
6) Clicking **Add a Digital Signature** will open the dialogue box shown below. You should then left click on the **OK** button.



Microsoft Office digital signatures combine the familiarity of a paper signing experience with the convenience of a digital format. While this feature provides users with the ability to verify a document's integrity, evidentiary laws may vary by jurisdiction. Microsoft thus cannot warrant a digital signature's legal enforceability. The third-party digital signature service providers available from the Office marketplace may offer other levels of digital signature assurance.

□ Don't show this message again

7) In the **Sign** dialog box:



Sign

See additional information about what you are signing...

You are about to add a digital signature to this document. This signature will not be visible within the content of this document.

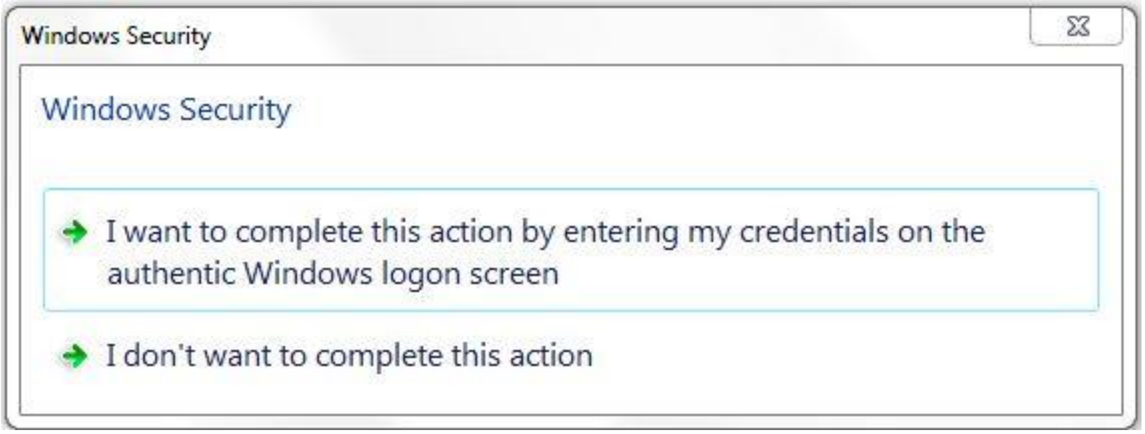
Purpose for signing this document:

Signing as: Coy A Lindsay
Issued by: U.S. Department of State PIV CA2

8) In the **Purpose for signing this document**, type the purpose or leave blank.

9) To ensure the correct certificate is used, click the **Change** button.

10) Choose the option **I want to complete this action by entering my credentials on the authentic Windows logon screen**.



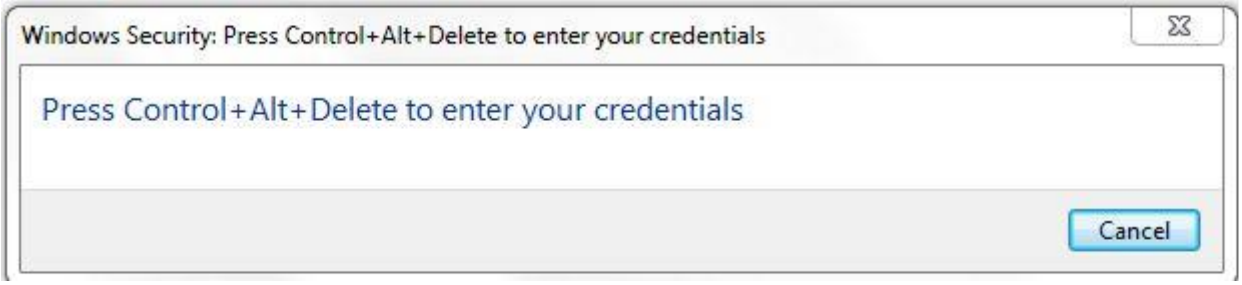
Windows Security

Windows Security

I want to complete this action by entering my credentials on the authentic Windows logon screen

I don't want to complete this action

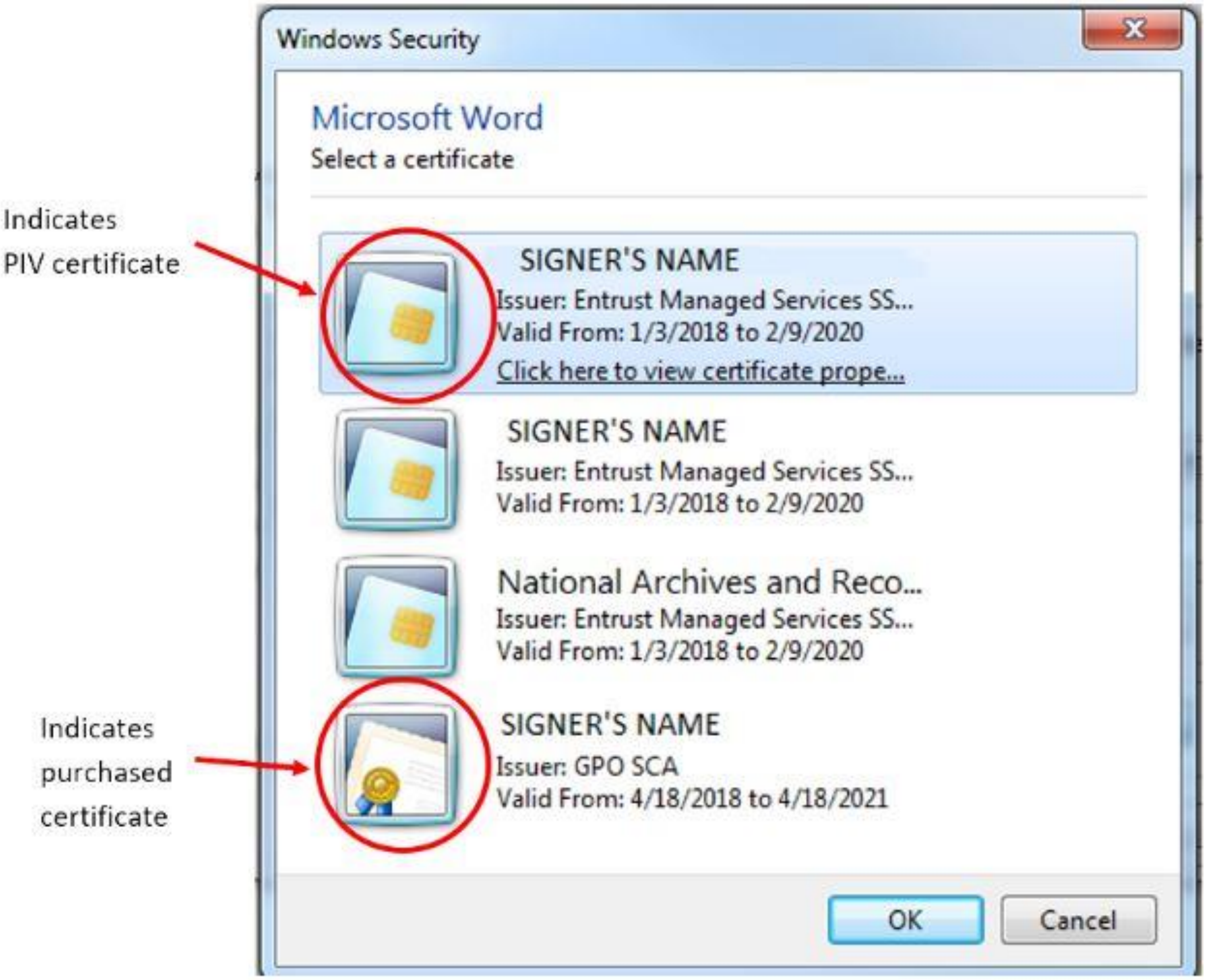
11) Press **Control + Alt + Delete**.



Windows Security: Press Control+Alt+Delete to enter your credentials

Press Control+Alt+Delete to enter your credentials

12) In the **Certificate Selection** box, there may be multiple certificates. Select the first unexpired certificate with your name and then ***click here to view the certificate properties***.



Microsoft Word

Select a certificate

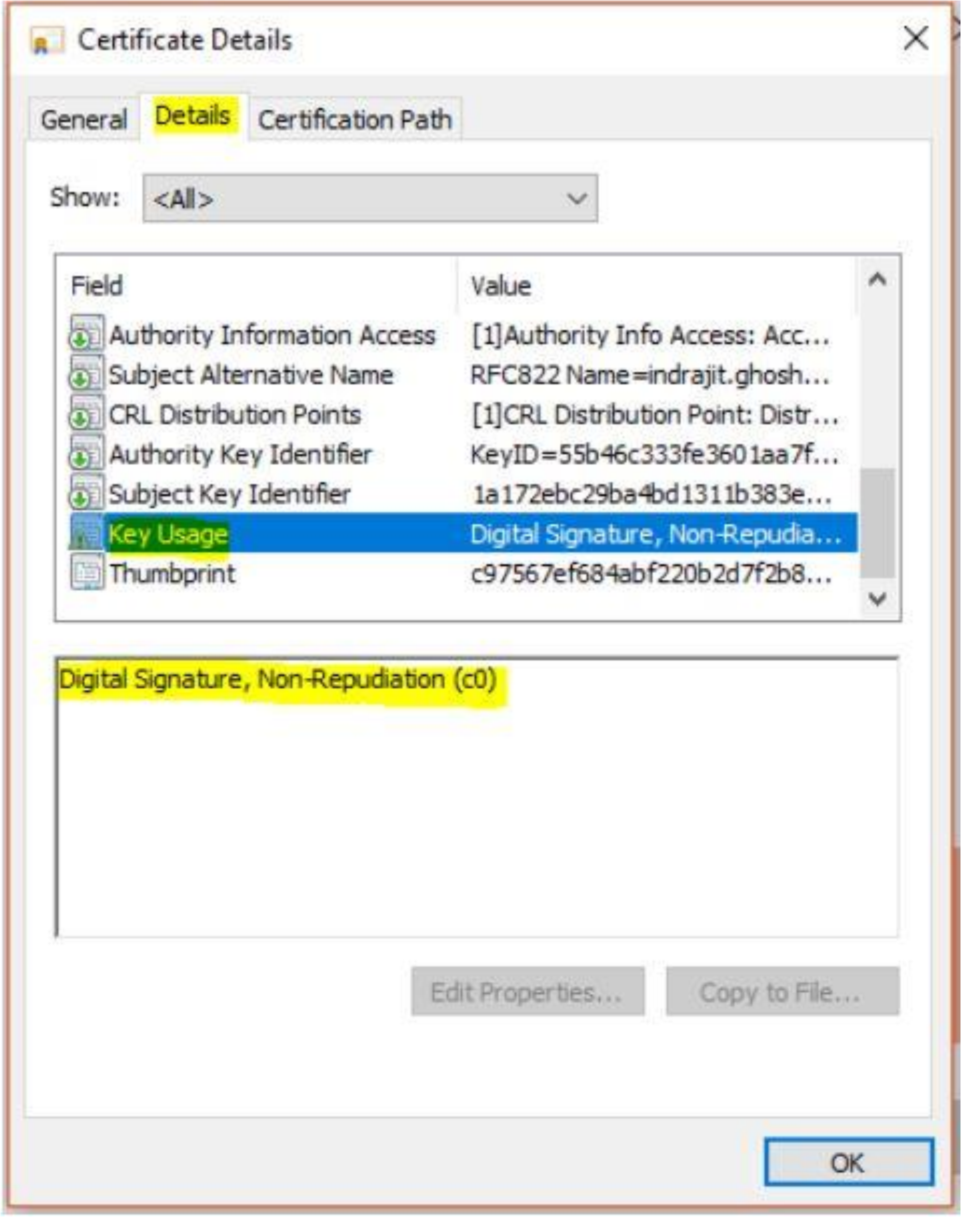
SIGNER'S NAME
Issuer: Entrust Managed Services SS...
Valid From: 1/3/2018 to 2/9/2020
Click here to view certificate prope...

SIGNER'S NAME
Issuer: Entrust Managed Services SS...
Valid From: 1/3/2018 to 2/9/2020

National Archives and Reco...
Issuer: Entrust Managed Services SS...
Valid From: 1/3/2018 to 2/9/2020

SIGNER'S NAME
Issuer: GPO SCA
Valid From: 4/18/2018 to 4/18/2021

13) The **Certificate Details** box appears. Go to the **Details** tab and scroll down to **Key Usage**. Single-click on it. The lower text box should now display “Digital Signature, Non-Repudiation” (for PIV card certificate). If it does, then this is the correct certificate. Click **OK** to close the window and proceed with signing.



Show: <All>

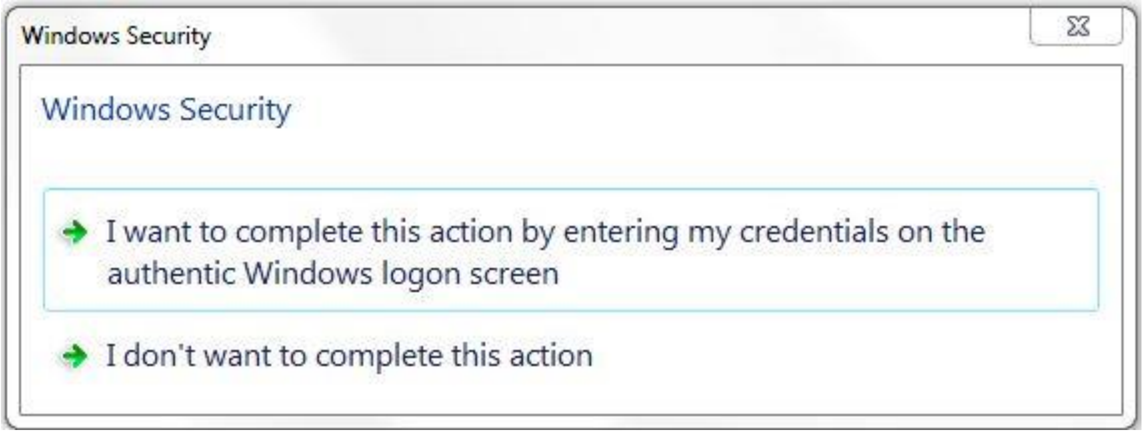
Field	Value
Authority Information Access	[1]Authority Info Access: Acc...
Subject Alternative Name	RFC822 Name=indrajit.ghosh...
CRL Distribution Points	[1]CRL Distribution Point: Distr...
Authority Key Identifier	KeyID=55b46c333fe3601aa7f...
Subject Key Identifier	1a172ebc29ba4bd1311b383e...
Key Usage	Digital Signature, Non-Repudia...
Thumbprint	c97567ef684abf220b2d7f2b8...

Digital Signature, Non-Repudiation (c0)

14) If this is the wrong certificate, click **OK**; then, select another certificate and repeat these steps until you find the correct certificate.

15) Click **Sign**.

16) Choose the option **I want to complete this action by entering my credentials on the authentic Windows logon screen**.



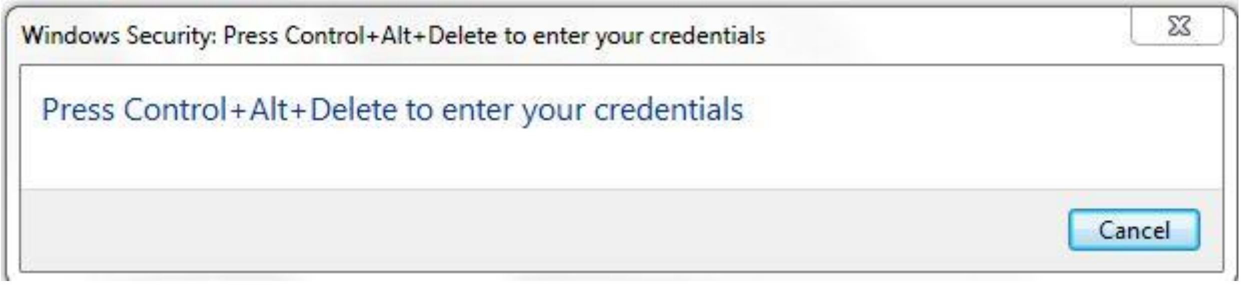
Windows Security

Windows Security

➔ I want to complete this action by entering my credentials on the authentic Windows logon screen

➔ I don't want to complete this action

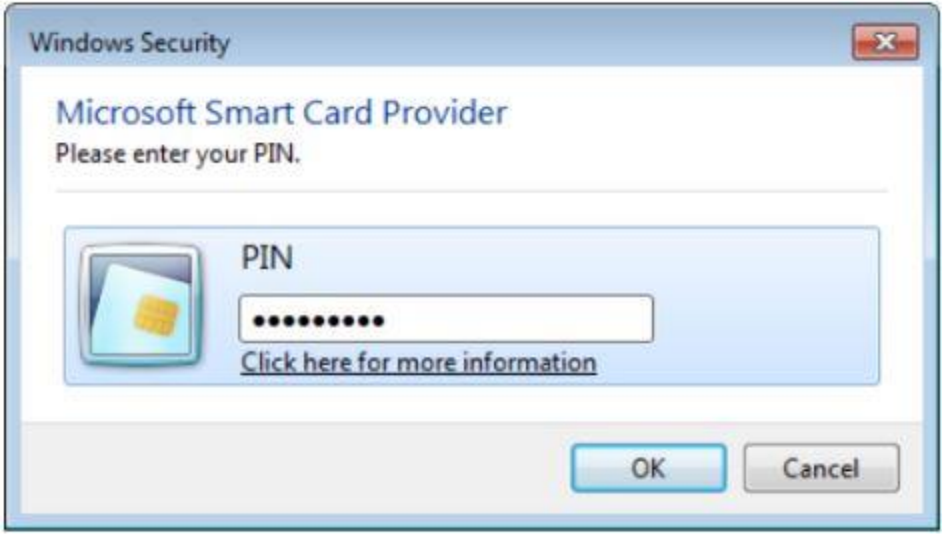
17) Press **Control + Alt + Delete**.



Windows Security: Press Control+Alt+Delete to enter your credentials

Press Control+Alt+Delete to enter your credentials

18) Follow the prompt to enter your 6-digit **PIN**; then, click **OK**.



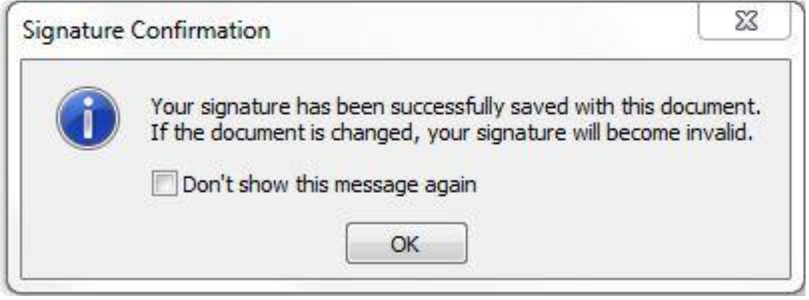
Windows Security

Microsoft Smart Card Provider

Please enter your PIN.

PIN: ••••••••••

19) If the digital signature certificate and PIN are valid, the document is signed and automatically saved under the filename. This is the file you submit to M/MS/IRD.



Signature Confirmation

Your signature has been successfully saved with this document. If the document is changed, your signature will become invalid.

□ Don't show this message again

- For multiple-signatory documents (e.g., dual-agency submissions), the first signer forwards the signed document to the next signer, who repeats the signing process on the already-signed file. (See Add Multiple Digital Signatories in MS Word below.) All digital signatories must have their names and job titles typed in the signature block of the document.

- A digital signature can be removed if necessary. This might be useful if sudden changes are needed or if a different signatory is desired. Remember: once the document is digitally signed it is secure and cannot be edited. If anyone edits the document after it has been signed but before it is uploaded to the Web portal, OFR will reject the file for an **invalid digital signature** and you will need to re-sign the document (See Remove Invisible Digital Signatures in MS Word below.)

Add Multiple Digital Signatories in MS Word

Multi-agency digital submissions are not only possible but recommended. Exactly like paper-and-disk submissions, if multiple agencies are submitting a document for publication, OFR receives only one document, signed by all agencies (e.g., if six agencies are jointly issuing a rule, OFR does not accept six submissions of the same rule). Regardless of the method of submission, the legal requirements are the same (i.e., representatives from all issuing agencies must sign the document, as described in the **Document Drafting Handbook** (DDH), 1.6). If one or more of the agencies are unable or unwilling to digitally sign, the document must be submitted via the conventional paper-and-disk procedure, as described in the DDH.

One of the issuing agencies should serve as the primary or lead coordinating agency. Follow these steps for jointly-issued, digitally-signed documents:

1) Save the finalized version of the document as a MS Word file (.docx). Be sure that the digital signatories' names and job titles are pre-printed in the signature block section of the document.

2) Coordinate among the issuing agencies the sequence of signing (i.e., determine who will sign first and forward the signed file for the next signature). Determine

which agency will actually submit the signed file to OFR via the Web portal once all signatures are completed.

3) The representative from the first agency digitally signs the file using the same method as a single-agency submission. (See Add Invisible Digital Signatures in MS Word above.) All signers must ensure that their names and job titles are pre-printed in the signature block section of the document.

4) Email that **signed** file to the next agency for digital signature.

5) The representative from the next agency in sequence ensures that his/her name and job title is pre-printed in the signature block section of the document and then digitally signs the already-signed file. No changes can be made to the signed file without removing the existing signature(s). If changes are required to the Word document, the whole process starts anew with the corrected, unsigned MS Word document.

6) If there are more issuing agencies, repeat steps 4 and 5 until all agencies have digitally signed.

7) Once all agency signatures have been applied to the file, the file is sent to the agency that will submit to OFR via the Web portal. From OFR's perspective, it doesn't matter who submits the file; OFR is concerned with validating the digital signatories.

8) The sending agency should include a special handling letter alerting OFR of the multi-agency submission with several signatories. Be sure the special handling letter is digitally signed as well. One signer is sufficient for the special handling letter.

9) The sending agency logs into the Web portal, uploads the signed Word file and special handling letter, and submits them.

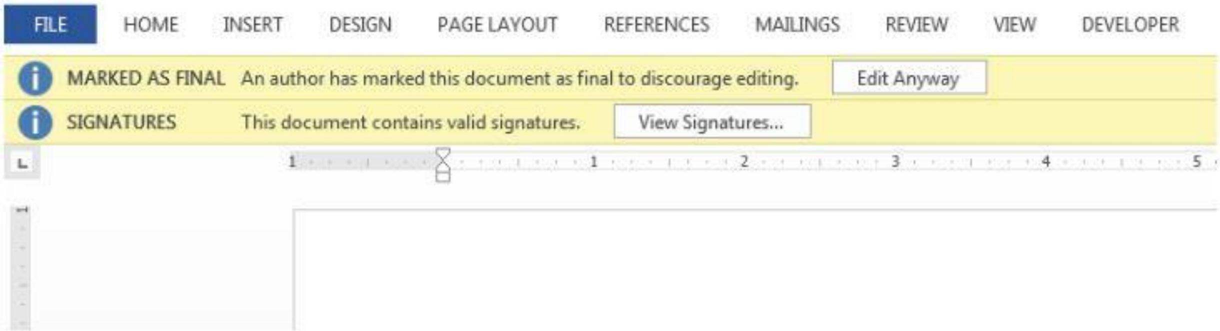
10) The signatures are validated in the Web portal. OFR will also check all of the digital signatories against their pre-printed signatures in the signature block section of the document. The names must match exactly or meet the accepted standards listed in the DDH. (See Step 1.)

WHAT IS THE SPECIAL HANDLING LETTER?

If you need anything special, such as delayed filing, emergency publication, or multi-agency submission, you need to request it in a special handling letter when you send in the document. Make sure you include a point of contact in your letter, especially if it is someone other than your Liaison Officer.

Remove Invisible Digital Signatures in MS Word

1) Open the MS Word document that contains the invisible signature you want to remove.



MARKED AS FINAL An author has marked this document as final to discourage editing.

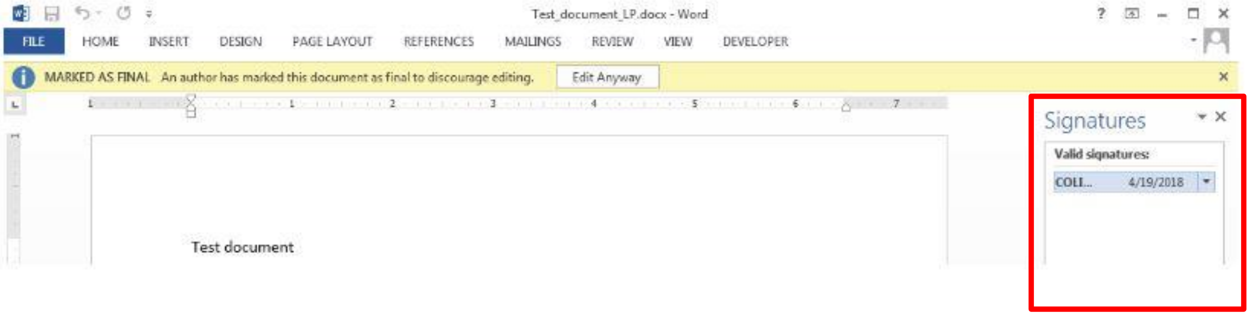
SIGNATURES This document contains valid signatures.

2) In the header, you may see the option to **View Signatures**. Click that button and proceed to Step 5. If you do not see the option:

3) Click the **File** tab.

4) Click **Info**.

5) Click **View Signatures**. The **Signatures** pane appears.



Test_document_LP.docx - Word

MARKED AS FINAL An author has marked this document as final to discourage editing.

Test document

Valid signatures:

COLI... 4/19/2018

6) Next to the signature name, click the arrow.

7) Click **Remove Signature.**

8) Click **Yes**.

View Signature Certificate in MS Word

You can check the details of the digital certificate(s) used to sign an MS Word document (for example, the name assigned to the certificate or expiration date).

Open the signed MS Word document containing the certificate(s) you want to check, or have the signer sign a document via the instructions provided in the Add Invisible Digital Signatures in MS Word section above.

1) In the header, you may see the option to **View Signatures**. Click that button and proceed to Step 5. If you don't see this option:

2) Click the **File** tab.

3) Click **Info**.

4) Click **View Signatures**.

5) In the **Signatures** pane, hover over the name of the signer you want to check; then, click the small down arrow.

6) Click on **Signature Details**. The signer's name as applied to the certificate is listed, along with the Certification Authority (CA).

7) Click the **View** button.

8) A pop-up window appears. Be sure that the **General** tab is selected. The valid dates of the certificate are listed. More technical details, such as the certification path and key usage values, are shown under other tabs.

FAQs

WHY DOES THE FILE NEED TO BE SUBMITTED AS A .DOC OR .DOCX?

OFR needs to edit the document, which is one of the reasons OFR does not accept .pdfs.

IF OFR NEEDS TO EDIT THE DOCUMENT, THEN WHY DO I NEED TO DIGITALLY SIGN IT?

When your document arrives, with your digital signature still intact, OFR is able to confirm that:

1) Your name matches the name printed as the signer in the document; and

2) Since your signature is intact, the contents of the document have not been tampered.

CAN I EDIT THE DOCUMENT AFTER I HAVE SIGNED IT? WHY OR WHY NOT?

No. Once the document has been digitally signed, you cannot edit the document. This would invalidate the digital signature and require the document to be digitally signed again.

WHAT IF THE ONLY PERSON WHO IS AUTHORIZED TO SIGN THE DOCUMENT IS NOT AVAILABLE?

This is a business process question that is important for offices to consider. Remember: no one is authorized to use someone else's credentials to sign a document digitally on someone else's behalf. This applies to PIV card digital signing. So the signer must apply their digital signature themselves. Your office may need to look at its delegations of authority to ensure that the individuals necessary can be available to sign documents when needed. The person whose name is on the document must be the person whose digital signature is applied to the document. If the names do not match, the document will be rejected.

Additionally, if there are problems with a document, the OFR will contact a liaison and not the person who submitted the document (if that person is not a liaison).

Checklist for Electronic Submissions

- √ If your document contains graphics, appendices, or annexes, include them in the document where they should appear in print. Do not send them as separate files in addition to your text.
- √ Do not submit a read-only, encrypted, or password-protected file.
- √ Do not submit a macro-enabled file.
- √ When drafting your document, do not use the automatic formatting features of your word-processing program.
- √ Accept all tracked changes before submitting the electronic file.
- √ Make sure there are no comments in the file before submitting.
- √ Take the necessary precautions regarding the metadata before submitting the file.
- √ Save your document in Microsoft Word format.

Sending the Signed File to the OFR

CAN I STILL MAKE SPECIAL HANDLING REQUESTS DIGITIALLY?

Yes, you can still create handling letters and attach them to individual documents in the Web portal. Remember: the special handling letter must be digitally signed, but the signer of the document and the special handling letter do not need to be the same person. For instance, a Director may sign the document, but a liaison can sign the special handling letter.

HOW DO I GET THE SIGNED FILE TO THE OFR?

You will need to submit your document(s) to a Federal Register Liaison. Presently, USAID has two, Coy Lindsay (**clindsay@usaid.gov**) and Paulette Murray (**pmurray@usaid.gov**). They will submit via the Web portal on your behalf.