

PAPERWORK REDUCTION ACT SUBMISSION

PDR

Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the Supporting Statement, and any additional documentation to: **Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW, Washington, DC 20503.**

<p>1. Agency/Subagency originating request U.S. Nuclear Regulatory Commission</p>	<p>2. OMB control number <input checked="" type="checkbox"/> a. 3150 - 0050 <input type="checkbox"/> b. None</p>
<p>3. Type of information collection (check one)</p> <p><input type="checkbox"/> a. New collection</p> <p><input type="checkbox"/> b. Revision of a currently approved collection</p> <p><input checked="" type="checkbox"/> c. Extension of a currently approved collection</p> <p><input type="checkbox"/> d. Reinstatement, without change, of a previously approved collection for which approval has expired</p> <p><input type="checkbox"/> e. Reinstatement, with change, of a previously approved collection for which approval has expired</p> <p><input type="checkbox"/> f. Existing collection in use without an OMB control number</p>	<p>4. Type of review requested (check one)</p> <p><input checked="" type="checkbox"/> a. Regular <input type="checkbox"/> c. Delegated</p> <p><input type="checkbox"/> b. Emergency - Approval requested by (date):</p> <p>5. Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> a. Yes <input checked="" type="checkbox"/> b. No</p> <p>6. Requested expiration date <input checked="" type="checkbox"/> a. Three years from approval date <input type="checkbox"/> b. Other (Specify):</p>
<p>7. Title NRC Form 237, Request for Access Authorization</p>	
<p>8. Agency form number(s) (if applicable) NRC Form 237</p>	
<p>9. Keywords Classified Information, Security Measures</p>	
<p>10. Abstract NRC Form 237 is completed by licensees, NRC contractors, or other individuals who require an NRC access authorization.</p>	
<p>11. Affected public (Mark primary with "P" and all others that apply with "X")</p> <p><input checked="" type="checkbox"/> a. Individuals or households <input type="checkbox"/> d. Farms</p> <p><input checked="" type="checkbox"/> b. Business or other for-profit <input type="checkbox"/> e. Federal Government</p> <p><input type="checkbox"/> c. Not-for-profit institutions <input type="checkbox"/> f. State, Local or Tribal Government</p>	<p>12. Obligation to respond (Mark primary with "P" and all others that apply with "X")</p> <p><input type="checkbox"/> a. Voluntary</p> <p><input type="checkbox"/> b. Required to obtain or retain benefits</p> <p><input checked="" type="checkbox"/> c. Mandatory</p>
<p>13. Annual reporting and recordkeeping hour burden</p> <p>a. Number of respondents <u>22</u></p> <p>b. Total annual responses <u>80</u></p> <p>1. Percentage of these responses collected electronically <u>0.0</u> %</p> <p>c. Total annual hours requested <u>16</u></p> <p>d. Current OMB inventory <u>16</u></p> <p>e. Difference <u>0</u></p> <p>f. Explanation of difference</p> <p>1. Program change _____</p> <p>2. Adjustment _____</p>	<p>14. Annual reporting and recordkeeping cost burden (in thousands of dollars)</p> <p>a. Total annualized capital/startup costs <u>0</u></p> <p>b. Total annual costs (O&M) <u>0</u></p> <p>c. Total annualized cost requested <u>0</u></p> <p>d. Current OMB inventory _____</p> <p>e. Difference <u>0</u></p> <p>f. Explanation of difference</p> <p>1. Program change _____</p> <p>2. Adjustment _____</p>
<p>15. Purpose of information collection (Mark primary with "P" and all others that apply with "X")</p> <p><input type="checkbox"/> a. Application for benefits <input type="checkbox"/> e. Program planning or management</p> <p><input type="checkbox"/> b. Program evaluation <input type="checkbox"/> f. Research</p> <p><input type="checkbox"/> c. General purpose statistics <input checked="" type="checkbox"/> g. Regulatory or compliance</p> <p><input type="checkbox"/> d. Audit</p>	<p>16. Frequency of recordkeeping or reporting (check all that apply)</p> <p><input type="checkbox"/> a. Recordkeeping <input type="checkbox"/> b. Third-party disclosure</p> <p><input checked="" type="checkbox"/> c. Reporting</p> <p><input checked="" type="checkbox"/> 1. On occasion <input type="checkbox"/> 2. Weekly <input type="checkbox"/> 3. Monthly</p> <p><input type="checkbox"/> 4. Quarterly <input type="checkbox"/> 5. Semi-annually <input type="checkbox"/> 6. Annually</p> <p><input type="checkbox"/> 7. Biennially <input type="checkbox"/> 8. Other (describe)</p>
<p>17. Statistical methods</p> <p>Does this information collection employ statistical methods?</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>18. Agency contact (person who can best answer questions regarding the content of this submission)</p> <p>Name: <u>Eugenia Pleasant</u></p> <p>Phone: <u>301-415-6465</u></p>

DFO3

19. Certification for Paperwork Reduction Act Submissions


On behalf of this Federal agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9.

NOTE: The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8 (b) (3), appear at the end of the instructions. *The certification is to be made with reference to those regulatory provisions as set forth in the instructions.*

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It uses plain, coherent, and unambiguous terminology that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention periods for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8 (b) (3):
 - (i) Why the information is being collected;
 - (ii) Use of information;
 - (iii) Burden estimate;
 - (iv) Nature of response (voluntary, required for a benefit, or mandatory);
 - (v) Nature of extent of confidentiality; and
 - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of the instructions);
- (i) It uses effective and efficient statistical survey methodology; and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of these provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.

Signature of Authorized Agency Official	Date
Signature of Senior Official or designee  Brenda Jo. Shelton, ARC Clearance Officer, Office of the Chief Information Officer	Date 5/23/01

FINAL OMB SUPPORTING STATEMENT FOR
NRC FORM 237
"Request for Access Authorization"

(3150-0050)
Revision to Extension Request

Description of Information Collection

Title 10, Code of Federal Regulations, Part 11, "Criteria and Procedures for Determining Eligibility for Access to or Control Over Special Nuclear Material" and Part 25, "Access Authorization for Licensee Personnel," establish requirements that licensee personnel requiring access to either special nuclear material or classified information must have an investigation of their background, and NRC Management Directive 12.3 "Personnel Security Program" establishes requirements that NRC contractors, subcontractors and other non-NRC individuals requiring access to classified information must have an investigation of their background. The reporting requirements associated with NRC Form 237 affect approximately 20 licensees and 2 contractors.

A. JUSTIFICATION

1. Need for and Practical Utility of the Collection of Information

A completed NRC Form 237 is required to obtain or renew access to special nuclear material (10 CFR 11.15(a)(2) and (c)(1)) or classified information (10 CFR 25.17(c) and 25.21(c)(1) and (2)) for licensee personnel. It is also used to request NRC access authorizations for personnel of NRC contractors, subcontractors, or other individuals who are not applicants for employment with NRC. The signature of the authorizing official (the security officer) and the approval of the NRC sponsoring official must appear on the form. The information on the form will be reviewed by NRC Division of Facilities and Security personnel. Any questions about the validity or appropriateness of the request may be referred to the NRC office exercising contractual, licensing or regulatory authority over the requesters before processing the access authorization request.

In addition to the signatures mentioned above, the form contains the name of the applicant, the level of access authorization requested, the applicant's date of birth, other appropriate remarks (e.g., previous clearance history), and an identification of enclosures (e.g., completed personnel security packet). A personnel security packet received without this form or without the authorizing official's signature will result in no action being taken on the access authorization request. This information collection for access authorizations benefits NRC and the Federal government by affording a greater degree of control over who is granted access to special nuclear material or classified information.

2. Agency Use of Information

The information on NRC Form 237 is forwarded to the Division of Facilities and Security (DFS) for administrative review and processing for access authorization. If the individual for whom access is being sought currently has an active access authorization with another Federal agency, DFS may request certification of this access authorization from the agency concerned. Upon receipt of this certification, DFS will reply to the requester indicating that the requested access authorization has been granted. This process normally can be completed within 30 days. If the individual for whom access is being sought does not have an active access authorization with another Federal agency, DFS will take action to obtain the type of investigation necessary to support the level of access sought. Upon favorable review of the completed investigation, DFS will notify the requester of the access authorization approval. If, after review of the investigation, DFS determines that there is a question of the individual's eligibility for NRC access authorization, the "due process" provisions of 10 CFR Parts 10 and 11 may be invoked.

3. Reduction of Burden through Information Technology

There is no information technology available which would reduce the burden and provide the documentation of identity and signature certification necessary to request an access authorization.

4. Effort to Identify Duplication and Use Similar Information

NRC Form 237 does duplicate certain identifying data (e.g., name, date of birth, and level of clearance) requested on other forms in order to assure positive identification of the individuals for whom access authorization is being sought. The Department of Energy and some other government agencies use similar forms. However, since there is no standard form available for Government-wide use, the NRC Form 237 is needed to ensure that NRC has a standard procedure for receiving requests for access authorizations.

Since the form is only used when clearance for access to special nuclear material or classified information is being requested, there is no other similar information available.

The Information Requirements Control Automated System (IRCAS) was searched and no duplication was found.

5. Effort to Reduce Small Business Burden

None of the licensees affected by the use of the NRC Form 237 qualify as small business enterprises or entities. The burden associated with this form is so minimal that there would be no significant burden on a contractor, if they qualified as a small business enterprise or entity.

6. Consequences to Federal Program or Policy Activities if the Collection Is Not Conducted or is Conducted Less Frequently

Since the collection of information is only required when one applies for access to special nuclear material or classified information, there is no established frequency for collection. In most cases, this is a one time event and less frequent collection would mean eliminating the collection altogether. If the information is not collected, the assurance that only individuals who are properly authorized have access to classified information or special nuclear material is reduced. Thus, less frequent collection may endanger the U.S. common defense and national security.

7. Circumstances Which Justify Variation from OMB Guidelines

No variation from OMB guidelines is required for the purpose of this collection process.

8. Consultations Outside the NRC

Opportunity for public comment was published in the Federal Register on February 28, 2001 (66 FR12817). There were no comments received.

9. Payment or Gift to Respondents

Not applicable.

10. Confidentiality of the Information

NRC provides no pledge of confidentiality for this collection of information; however, as Social Security Numbers may be provided as a part of the information provided, they are protected by the Privacy Act and their confidentiality is maintained.

11. Justification for Sensitive Questions

NRC does not request any sensitive information on this form.

12. Estimated Burden and Burden Hour Cost

An estimated 12 minutes (based on staff experience) is required to complete each NRC Form 237, resulting in a total annual burden on the public of 16 hours. The estimated annual financial burden shared among the 22 licensees/contractors is \$2,288. This was computed as follows: 80 applicants X 12 minutes per request X \$143/hr.

13. Estimate of Other Additional Costs

Not applicable.

14. Estimated Annualized Cost to the Federal Government.

The annual cost to NRC is estimated to be \$1,906.19. The cost was computed as follows:

Annual professional effort = \$1,906.19

(10 minutes [processing, program review and approving requests for processing] X 80 = 13.33 hrs. X \$143 per hour).

This cost is fully recovered through fee assessment to NRC licensees pursuant to 10 CFR Parts 170 and/or 171.

15. Reasons for Changes in Burden or Cost

There is no change in the burden. However, the cost for professional effort has been increased in accordance with Part 170 to \$143 per hour.

16. Publications for Statistical Use

Data from this information collection are not published for statistical purposes. Statistical methods cannot be used in the collection of information since each instance relates to an individual applying for access to special nuclear material or classified information.

17. Reason for Not Displaying the Expiration Date

The expiration date is displayed.

18. Exceptions to the Certification Statement

Not applicable.

B. COLLECTION OF INFORMATION EMPLOYING STATISTICAL METHODS

Statistical methods are not used in this collection of information.

U. S. NUCLEAR REGULATORY COMMISSION

Agency Information Collection Activities: Proposed Collection; Comment Request

AGENCY: U. S. Nuclear Regulatory Commission (NRC)

ACTION: Notice of the OMB review of information collection and solicitation of public comment.

SUMMARY: The NRC has recently submitted to OMB for review the following proposal for the collection of information under the provisions of the Paperwork Reduction Act of 1995 (44 U.S.C. Chapter 35). The NRC hereby informs potential respondents that an agency may not conduct or sponsor, and that a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

1. Type of submission, new, revision, or extension: Extension.

2. The title of the information collection:
 - NRC Form 136, "Security Termination Statement"
 - NRC Form 237, "Request for Access Authorization"
 - NRC Form 277, "Request for Visit or Access Approval"

3. The form number if applicable: 3150-0049, NRC Form 136
3150-0050, NRC Form 237
3150-0051, NRC Form 277
4. How often the collection is required: On occasion
5. Who will be required or asked to report: NRC Form 136, licensee and contractor employees, who have been granted an NRC access authorization; NRC Form 237, any employee of approximately 20 licensees and 2 contractors who will require an NRC access authorization; NRC Form 277, any employee of 2 current NRC contractors who (1) holds an NRC access authorization, and (2) needs to make a visit to NRC, other contractors/licensees or government agencies in which access to classified information will be involved or unescorted area access is desired.
6. An estimate of the number of responses: NRC Form 136: 400
NRC Form 237: 80
NRC Form 277: 6
7. The estimated number of annual respondents: NRC Form 136: 22
NRC Form 237: 22
NRC Form 277: 2

8. An estimate of the total number of hours needed annually to complete the requirement or request:
- | | |
|---------------|----|
| NRC Form 136: | 40 |
| NRC Form 237: | 16 |
| NRC Form 277: | 1 |
9. An indication of whether Section 3507(d), Pub. L. 104-13 applies:
Not applicable.
10. Abstract: The NRC Form 136 affects the employees of licensees and contractors who have been granted an NRC access authorization. When access authorization is no longer needed, the completion of the form apprises the respondents of their continuing security responsibilities. The NRC Form 237 is completed by licensees, NRC contractors or individuals who require an NRC access authorization. The NRC Form 277 affects the employees of contractors who have been granted an NRC access authorization and require verification of that access authorization and need-to-know in conjunction with a visit to NRC or another facility.

A copy of the supporting statement may be viewed free of charge at the NRC Public Document Room, One White Flint North, 11555 Rockville Pike, Room O-1F23, Rockville, MD 20852.

OMB clearance requests are available at the NRC worldwide web site:

<http://www.nrc.gov/NRC/PUBLIC/OMB/index.html>. The document will be available on the NRC home page site for 60 days after the signature date of this notice.

Comments and questions should be directed to the OMB reviewer by (insert date 30 days after publication in the Federal Register):


Amy Farrell
Office of Information and Regulatory Affairs (3150-0049, 0050 & 0051)
NEOB-10202
Office of Management and Budget
Washington, DC 20503

Comments can also be submitted by telephone at (202) 395-7318.

The NRC Clearance Officer is Brenda Jo. Shelton, 301-415-7233.

Dated at Rockville, Maryland, this 23rd day of May 2001.

For the Nuclear Regulatory Commission.


Brenda Jo. Shelton, NRC Clearance Officer
Office of the Chief Information Officer