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U. S. NUCLEAR REGULATORY COMMISSION
NRC MANUAL
TRANSMITTAL NOTICE

CHAPTER NRC-0230 COLLECTIONS OF INFORMATION
AND REPORTS MANAGEMENT

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REMARKS:

This chapter and appendix were revised to reflect the current NRC organizational structure, and to include Appendix Parts II and III.

Part II addresses procedures for initiating and/or responding to requests for reports made by one Federal agency to another, including NRC requests for reports from other Federal agencies.

Part III addresses procedures for initiating/approving internal NRC reporting requirements that exceed \$5,000 in total annual costs.

These Parts are added to comply with the requirements of Federal Information Resources Management Regulations (FIRMR) 201-45.103 and 201-45.6.

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CHAPTER 0230 COLLECTIONS OF INFORMATION
 AND REPORTS MANAGEMENT

0230-01 COVERAGE

This chapter establishes policy for the collections of information conducted or sponsored by the Nuclear Regulatory Commission. Coverage includes any application, reporting, recordkeeping, or other collections of information imposed on any NRC licensee or any other member of the public whether the requirement is mandatory or voluntary (Public Law 96-511 (44 U.S.C. 3501 et. seq.) The Paperwork Reduction Act of 1980). Exempted from coverage of this chapter are the following collections of information:

- a. affidavits, oaths, affirmations, certifications, receipts, changes of address, consents, or acknowledgments, provided that they entail no burden other than that necessary to identify the respondent, the date, the respondent's address, and the nature of the instrument.
- b. samples of products or of any other physical objects.
- c. facts or opinions obtained through direct observation by an employee or agent of the sponsoring agency or through nonstandardized oral communication in connection with such direct observations.
- d. facts or opinions submitted in response to general solicitations of comments from the public, published in the Federal Register or other publications, provided that no person is required to supply specific information pertaining to the commenter, other than that necessary for self-identification, as a condition to the agency's full consideration of the comment.
- e. facts or opinions obtained initially or in follow-on requests, from individuals (including individuals in control groups) under treatment or clinical examination in connection with research on or prophylaxis to prevent a clinical disorder, direct treatment of that disorder, or the interpretation of biological analyses of body fluids, tissues, or other specimens, or the identification or classification of such specimens.
- f. a request for facts or opinions addressed to a single person.

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- g. examinations designed to test the aptitude, abilities, or knowledge of the persons tested and the collections of information for identification or classification in connection with such examinations.
- h. facts or opinions obtained or solicited at or in connection with public hearings or meetings.
- i. facts or opinions obtained or solicited through nonstandardized follow-up questions designed to clarify responses to approved collections of information.

Coverage also includes reports required to be submitted to the NRC by other Federal agencies (41 CFR 201-45.6, "Interagency Reports Management Program") and recurring internal reports required by a division or higher level organization (41 CFR 201-45.103, "Reports Management").

This chapter and appendix define the objectives, responsibilities, and procedures for the conduct of the covered collections of information activities and include policies, procedures, and requirements of the Office of Management and Budget (OMB) and the General Services Administration (GSA).

0230-02 OBJECTIVES

021 To assign responsibilities and set forth procedures for the conduct of NRC collection of information activities as prescribed under the Paperwork Reduction Act of 1980 and OMB regulations (5 CFR 1320) and directives.

022 To ensure that the NRC collections of information are reviewed at key intervals during development and following implementation so that appropriate decisions can be made regarding such actions as instituting, continuing, modifying, or terminating such collections of information.

023 To promote implementation of policies, requirements, and procedures of GSA pursuant to 41 CFR 201-45.6 and 201-45.103.

024 To ensure that the collections of information conducted or sponsored by NRC are consistent with the needs of the regulatory program and undertaken in a manner that will place a minimum burden upon the respondents, especially small businesses and persons required to furnish information to NRC, as required by the Paperwork Reduction Act of 1980.

025 To ensure that the most efficient, effective, and economic sources or means for obtaining or applying information resources have been considered.

0230-03 RESPONSIBILITIES AND AUTHORITIES

031 The Commissioners:

- a. approve new or revised collections of information that are to be included in NRC proposed and final rules that are not delegated to the Executive Director for Operations for approval.

- b. approve or disapprove requests for override of OMB disapprovals of NRC collections of information.

032 The Executive Director for Operations (EDO):

- a. approves new or revised collections of information that are to be included in NRC proposed and final rules that are delegated by the Commission for approval by the Executive Director for Operations.
- b. recommends to the Commission the override of OMB's disapproval or stay of effectiveness of proposed NRC collections of information.

033 The Committee To Review Generic Requirements (CRGR) recommends to the Director, Office of Information Resources Management, approval or disapproval of proposed collections of information affecting one or more classes of reactors which are referred to it for review.

034 The Director, Office of Information Resources Management, as the Senior Official for the Paperwork Reduction Act:

- a. establishes agency policy and ensures agency compliance with the provisions of the Paperwork Reduction Act of 1980 and the implementing directives and guidelines issued by OMB.
- b. approves or disapproves collections of information imposed or proposed to be imposed on persons, licensees, or other members of the public, except for those collections of information covered by Appendix 0230, Part I, Section D.
- c. ensures agency compliance with the provisions of 41 CFR 201-45.6, "Interagency Reports Management Program," and 41 CFR 201-45.103, "Reports Management," and implementing directives and guidelines issued by OMB and GSA.
- d. ensures compliance with agreements made with OMB regarding the exemption of collections of information from prior OMB approval.
- e. ensures the preparation of an annual agency-wide Information Collection Budget (ICB) for submission to OMB.
- f. requests that the Administrator, Office of Information and Regulatory Affairs, OMB, grant emergency clearance of collections of information the NRC seeks to conduct or sponsor.

035 The Director, Division of Information Support Services (DISS):

- a. disseminates to staff agency policy and interpretation of OMB regulations, as they pertain to the Paperwork Reduction Act.

- b. administers the reports management program, including the establishment of necessary operating standards and procedures to ensure that the collections of information conducted or sponsored by NRC are consistent with the needs of the regulatory program and undertaken in a manner that will place a minimum burden upon the respondents, especially small businesses, and persons required to furnish information.
- c. provides to NRC Offices an assessment of the conformance to OMB requirements for collections of information proposed for imposition.
- d. ensures that all NRC clearance applications meet the format and content requirements set forth by OMB.
- e. coordinates with other Federal agencies the elimination of overlapping or duplicate requirements between the NRC and other agencies.
- f. recommends approval or disapproval of collections of information contained in NRC clearance applications.
- g. provides guidance and assistance to Headquarters and Regional Office staffs on matters pertaining to internal and interagency reports management.
- h. recommends categories of information to be exempted from reports control procedures.
- i. develops and promotes techniques and controls to improve the effectiveness and efficiency of reports management programs and activities throughout NRC.
- j. ensures that requests to establish, amend, revise, or abolish collections of information are reviewed to determine whether the proposed actions would duplicate or conflict with existing reporting or recordkeeping requirements.
- k. ensures the appropriate Paperwork Reduction Act compliance statement appears in each published NRC rule by concurring in each rulemaking package prior to its publication.
- l. ensures that internal, GSA, and OMB control numbers are displayed as required by law and regulations.
- m. ensures that a case file for each NRC reporting and recordkeeping requirement is maintained.
- n. maintains a current inventory of OMB approved collections of information
- o. ensures that documents formally submitted to OMB for review are made available in the Public Document Room.

- p. ensures that a notice is published in the Federal Register describing collections of information transmitted to OMB for approval.
 - q. provides in a timely fashion to program offices all changes in guidance promulgated by OMB, GSA, or IRM that affect the content of clearance packages.
 - r. maintains accounting system for collections of information that includes the public and Government costs associated with each collection of information.
 - s. ensures that recordkeeping requirements are identified with definitive retention periods.
 - t. ensures that retention periods for recordkeeping requirements conform to the Commission's uniform periods of 3 years, 5 years, 10 years, or life of the component activity, facility, etc., or if applicable, a postoperational period, unless an exception is granted.
 - u. reviews and approves case-specific requests for exceptions to the uniform retention periods for records. Approval of requests will be based primarily on the impact on retention periods that are mandated by other agencies' regulations or industry codes and standards.
 - v. recommends to the Division of Freedom of Information and Publications Services that proposed rulemakings that contain collections of information not be published before the clearance package is submitted to OMB.
 - w. recommends to the Division of Freedom of Information and Publications Services that final rulemakings that contain collections of information not be published before OMB has approved the collections of information.
 - x. reviews and approves exceptions to the policy of not publishing final rules before OMB approves the collections of information. Exceptions may be granted if the final rule reflects an effective date for the collection of information requirements of at least 90 days after publication to allow for OMB review.
 - y. reviews all rulemakings to ensure they comply with all regulations relevant to Paperwork Reduction Act activities.
- 036 Directors of Offices and Regional Administrators:
- a. approve the collections of information to be imposed on any NRC licensee or any other member of the public by their Office.
 - b. recommend to the Executive Director for Operations that the Commission override disapprovals by OMB of proposed NRC collections of information when necessary.

- c. designate an Information Management Coordinator to serve as coordinator and contact for all Office information-gathering activities generated by the respective Office.
- d. establish internal controls to ensure conformity with NRC collections of information and reports standards and paperwork management objectives.

037 The Information Management Coordinator (IMC):

- a. coordinates the Office's preparation of OMB clearance package and coordinates their submission to DISS for action.
- b. assists the Office staff in preparing an OMB clearance package that meets the format and content requirements set forth in OMB guidelines and this manual chapter.
- c. consults with DISS as required to resolve problems arising from DISS's review of the NRC clearance application.
- d. notifies DISS of the discontinuance of unnecessary or obsolete reporting and recordkeeping requirements.

038 The General Counsel (OGC):

- a. provides advice and assistance to staff regarding interpretation of NRC regulations, the Paperwork Reduction Act, and relevant OMB guidelines.
- b. concurs in proposed impositions and extensions of collections of information.
- c. concurs in recommendation to the EDO that the Commission override an OMB disapproval of a collection of information.

039 The Director, Division of Freedom of Information and Publications Services (FIPS):

- a. provides DISS a copy of each proposed or final rule that FIPS receives for its review.
- b. coordinates with DISS to ensure that rules are not published until all concerns pertaining to information collection requirements are resolved.

0310 The Interagency Report Coordinator (IRC):

- a. coordinates the preparation of interagency reports with the originating Office.
- b. coordinates the receipt and or issue of interagency reports with other Federal agencies.

- c. coordinates with GSA the request for approval of interagency reporting requirements.
- d. ensures that interagency reports are cost effective.
- e. ensures that GSA control numbers are displayed as required by regulation.
- f. maintains a current inventory and case files for interagency reports.

0230-04 DEFINITIONS

041 Burden - the total time, effort, or financial resources required to respond to a collection of information including that (a) to read or hear instructions; (b) to develop, modify, construct, or assemble any materials or equipment needed solely to respond to the request; (c) to conduct tests, inspections, polls, observations, or the like which are necessary to obtain the information; (d) to organize the information into the requested format; (e) to maintain, disclose, or report the information; and (f) to review its accuracy and appropriateness.

Burden does not include the time and financial resources necessary to comply with collections of information that would be incurred by persons in the normal course of their activities, e.g., technical requirements including the installation of equipment or conduct of inspections, if it can be demonstrated that these collections are usual and customary.

042 Collection of information - the obtaining or soliciting of information by an agency from 10 or more persons by means of identical questions, whether such collection of information is mandatory, voluntary, or required to obtain a benefit. For purposes of this definition, the "obtaining or soliciting of information" includes any requirement or request for persons to obtain, maintain, retain, report, or publicly disclose information including the requirement to post, notify, label, or similarly disclose information. "Collections of information" are of two mutually exclusive types: "collection of information requirements" and "information collection requests."

"Collections of information" do not include questions posed to other agencies, instrumentalities, or employees of the United States, unless the results are to be used for general statistical purposes. General purpose statistics are those collected chiefly for public and general government uses, without primary reference to policy or program operations of the agency collecting the information.

043 Collection of information requirement - the term used for the collection of information by means of agency rule adopted after public notice and comment. The term comprises any form or other written instrument for the collection of information that is published as a part of the rule.

044 Information - any statement of fact or opinion, whether in numerical, graphic, or narrative form, and whether oral, maintained on paper, magnetic tapes, or other media. "Information" does not include:

- a. identification of the respondent for the purpose of an affidavit oath, certification, receipt, change of address, or acknowledgment.
- b. samples of products or of any other physical objects.
- c. facts or opinions obtained through direct observation by an employee or agent of the sponsoring agency.
- d. facts or opinions submitted in response to general solicitations of comments from the public, published in the Federal Register, provided that no person is required to supply specific information pertaining to the commenter, other than that minimally necessary for self-identification, as a condition to the agency's full consideration of the comment.
- e. facts or opinions obtained from individuals in connection with treatment for or prophylaxis to prevent a clinical disorder, if such information is to be used for purposes of research on or direct treatment of that disorder, or for the interpretation of biological analyses of body fluids, tissues, or other specimens, or for identification or classification of such specimens.
- f. particularized facts or opinions the request for which is conducted by means other than identical questions posed to each respondent.
- g. a request for facts or opinions addressed to a single person.
- h. examinations designed to test the aptitude, abilities, or knowledge of the persons tested and the collection of information for identification or classification in connection with such examinations.
- i. facts or opinions obtained or solicited at or in connection with public hearings or meetings.
- j. facts or opinions obtained or solicited through nonstandardized follow-up questions designed to clarify responses to approved collections of information.

045 Information collection request - the method by which an agency communicates the specifications for a collection of information to potential respondents. An information collection request may be made through orders, regulatory guides, bulletins, circulars, generic letters, standard technical specifications, branch technical positions, standard review plans, telephone surveys or requests, forms, oral communications, and other modes of communications.

046 Person - an individual, partnership, association, corporation, (including operations of government-owned contractor-operated facilities), business trust, legal representative, organized group of individuals, state, territory, or local government or branch thereof, or political subdivision or branch thereof of a state, territory, or local government. A current employee

of the Federal government falls within this definition only for the purposes of collections of information outside the scope of his/her employment.

047 Practical utility - the actual, not merely the theoretical or potential, usefulness of information to an agency, taking into account its accuracy, adequacy, and reliability, and the agency's ability to process the information in a useful and timely fashion. Actual timely use must be demonstrated.

048 Recordkeeping requirement - a requirement imposed by an agency on persons to maintain specified records. Includes requirements that information be maintained or retained by persons but not necessarily provided to an agency.

049 Reporting requirement - a requirement imposed by an agency on a person or organization to provide specified information to the agency or another organization or person. Reporting requirements may implicitly or explicitly include related recordkeeping requirements.

0410 Recurring report - a report that conveys essentially the same type of information at regularly prescribed intervals such as daily, weekly, monthly, or annually, etc., or which is prepared on each occurrence, reoccurrence, or nonoccurrence of an event or situation of certain prescribed characteristics.

0411 Sponsor - a federal agency is considered to "sponsor" the collection of information if the agency collects the information, causes another agency to collect the information, contracts with a person to collect the information, or requires a person to provide information to another person. Collections of information undertaken by a recipient of a federal grant or contract are considered to be "sponsored" by an agency only if:

- a. the recipient of a grant is collecting information at the specific request of the agency; or
- b. the terms and conditions of the grant require specific approval by the agency of the collection of information or the collection procedures.

0412 "Ten or more persons" - the persons to whom an information collection request is addressed by the agency within any 12-month period, and to any independent entities to which the initial addressees may reasonably be expected to transmit the request during that period, including independent state or local entities and separately incorporated subsidiaries or affiliates, but not including employees of the respondent within the scope of their employment, or contractors engaged for the purpose of complying with the information collection request.

- a. Any recordkeeping or reporting requirement contained in a rule of general applicability is deemed to involve ten or more persons.
- b. Any information collection request addressed to all or a substantial majority of an industry is presumed to involve ten or more persons.

0413 Supporting statement - a statement justifying a collection of information, the format for and contents of which are set forth in Appendix 0230, Part I, Exhibit 3, to this chapter.

0414 Interagency report - a reporting requirement imposed by an agency on one or more other agencies.

0415 Internal report - any requirement that involves reports prepared and used solely within a department or agency covered by Title 44, United States Code.

0230-05 BASIC REQUIREMENTS

051 Applicability. This chapter and its appendix are applicable to all NRC employees and activities.

052 Appendix 0230. Procedures for implementing the policy on collections of information conducted or sponsored by NRC are presented in the appendix to this chapter.

053 References:

- a. Paperwork Reduction Act of 1980, Public Law 96-511 (44 U.S.C. 3500).
- b. Paperwork Reduction Reauthorization Act of 1986 (44 U.S.C. 3507 amendments).
- c. Standard Form SF-83A, "Instructions for Requesting OMB Review Under Executive Order 12291 or Approval of a Collection of Information Under the Paperwork Reduction Act and 5 CFR 1320."
- d. Federal Property Management Regulations, 41 CFR 201-45.6 and 201-45.103.
- e. GSA Reports Management Handbook.
- f. GSA Reports Management and Costing Guidelines.
- g. 5 CFR 1320, Controlling Paperwork Burdens on the Public.
- h. NUREG/BR-0058, "Regulatory Analyses Guidelines of the Nuclear Regulatory Commission."
- i. Atomic Energy Act of 1954, as amended.

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PART I

NRC COLLECTIONS OF INFORMATION

A. COVERAGE

This Part applies to all new, modified, or renewed NRC requests or requirements for persons to obtain, keep, report, or publicly disclose information. This Part applies regardless of whether response to the request is voluntary or mandatory. This Part applies to collections of information contained in rules, regulatory guides, bulletins, generic letters, or any other request as defined in Chapter 0230-045.

This Part does not apply to collections of information addressed to nine or fewer persons in a 12-month period excepted as in C. below. Note, however, that any recordkeeping or reporting requirement contained in a rule of general applicability and any request for information addressed to all or a substantial portion of an industry is presumed by OMB to involve ten or more persons. This Part does not apply to the collections of information described in Chapter 0230-01.

B. CONTENTS AND FORMAT FOR AN OMB CLEARANCE PACKAGE (OCP)

A complete OCP contains the following documents:

- Standard Form 83, Request for OMB Review, Exhibit 2, completed according to the accompanying instructions.
- Supporting Statement for the Collection of Information, completed according to the instructions contained on the SF-83A, and in the format illustrated by the accompanying sample.
 - Supporting Statement, Exhibit 3, Attachment A, describing agency consultations.
 - Supporting Statement, Exhibit 3, Attachment B, describing burden hours and dollar costs.
- Federal Register Notice of OMB Review, Exhibit 4.
- Four copies of the proposed Commission directive authorizing the imposition of the new collections of information requirement.

C. PROCEDURES FOR OBTAINING OMB APPROVAL OF NRC COLLECTIONS OF INFORMATION

1. Routine Procedures For Obtaining OMB Approval of NRC Application, Reporting, Recordkeeping, and Other Collections of Information.

- a. Each Office or Region which identifies a new requirement, intends to modify an approved requirement, or is required to obtain a renewal of an OMB approval of an existing requirement shall provide to the Division of Information Support Services, through its Information Management Coordinator, at the earliest date possible but no less than five months prior to the intended date of the information request, a description of the collection of information consisting of the following documentation:
- (1) A draft Supporting Statement, the format for and contents of which are described in Exhibit 3.
 - (2) A copy of the proposed agency directive authorizing the imposition of a new collection of information such as a proposed rule, final rule, order, bulletin, survey, memorandum, etc.
 - (3) A copy of any form which is to be used to collect the information.
 - (4) A certification signed by the responsible Branch Chief or other senior official in the submitting office that:
 - (a) the information is needed;
 - (b) the collection of information is the least burdensome necessary for the proper performance of the Commission's functions, complies with legal requirements, and achieves program objectives;
 - (c) the collection of information is not duplicative of information otherwise accessible to the agency; and
 - (d) the collection of information has practical utility.

Any modification of a collection of information which results in the elimination or reduction of burden shall be reported to DISS so that a recommendation can be made as to whether or not a clearance package must be submitted to OMB for review.

- b. DISS will review the draft Supporting Statement and other accompanying documentation and the Director, DISS, will transmit to the submitting Office through the IMC a completed "Assessment of Proposed Information Collection" (see Exhibit 1) and a draft of Standard Form 83, "Request for OMB Review" (see Exhibit 2), for the requesting Office's use in preparing the final clearance application.

In making its review, DISS will consider the following factors:

- (1) Is the collection of information needed, i.e., is it the best means to achieve a necessary regulatory objective?
 - (2) Does the information reported or required to be kept have practical utility, i.e., does the NRC have the capability to use the information in a timely and useful fashion?
 - (3) Is the schedule for imposing the collection of information reasonable?
 - (4) Is the collection of information selected the least burdensome method for achieving a necessary regulatory objective?
 - (5) Does the requirement duplicate or overlap other requirements imposed by the NRC?
 - (6) Does the requirement duplicate or overlap requirements imposed by other government agencies?
 - (7) Was the method used to estimate the burden adequate?
 - (8) Are the burden estimates reasonable when compared with similar requirements previously cleared?
 - (9) Is the method proposed for collecting or keeping the information consistent with sound records management practices?
 - (10) Is the record retention period sufficiently definitive and reasonable?
 - (11) Does the requirement adequately identify the records to be maintained and the information to be reported?
 - (12) Are NRC resources sufficient to manage the information once collected?
 - (13) What is the impact on the agency's information collection budget?
- c. The originating NRC Office, once it receives and reconciles the "Assessment of Proposed Information Collection," will prepare a final clearance application for submittal to OMB. The application shall consist of the following:
- (1) One copy of the signed certification by the responsible Branch Chief or other senior official in the submitting Office.

- (2) The completed "Assessment of Proposed Information Collection," reflecting a recommendation of approval of the collection of information by the Director, DISS.
- (3) Completed Standard Form 83, "Request for OMB Review."
- (4) Final Supporting Statement.
- (5) Four copies of the agency directive imposing the collection of information requirement such as the proposed rule, final rule, bulletin, generic letter, etc.
- (6) Federal Register Notice (see Sample at Exhibit 4).
- (7) Letter to OMB requesting approval of the collection of information when an Office Director or Regional Administrator determines OMB approval is needed before the 60-day OMB review time has elapsed. The letter shall specify the date by which OMB approval is needed and shall explain why the approval is needed by the specified date (see C.3, below).

NOTE: The OMB transmittal letter is not required for routine submissions.

- d. The submitting NRC Office will transmit the completed application for OMB approval to OGC, along with all supporting documents. This submittal should reflect on the Federal Register Notice the concurrence blocks of OGC, AEOD when CRGR review is required, and Director, IRM.
- e. The Director, DISS, or his designee, upon receipt of the final clearance application signed by the Director, Office of Information Resources Management, will transmit the NRC submission to OMB for review.
- f. OMB, upon receipt of the NRC submission to review a collection of information requirement, will:
 - (1) consult with DISS regarding issues raised by its review; and
 - (2) within 60 days, or 90 days if 30 additional days are required, inform the NRC of its approval or disapproval. If the collection of information is disapproved by OMB, procedures set forth in C.2, below, should be followed.

- g. The following procedures will be followed in processing an OMB approved collection of information.
- (1) DISS, upon receipt of OMB approval of a collection of information, will promptly:
 - (a) inform the originating Office through the Office Information Management Coordinator of OMB's approval; and
 - (b) provide the originating Office the OMB control number and expiration date.
 - (2) The originating Office will:
 - (a) affix the OMB control number, expiration date, OMB and NRC addresses where comments on the burden can be sent, and burden per response to the document imposing the requirement. When the collection of information is imposed by regulation, the published rule must display the OMB control number; and
 - (b) provide DISS with two (2) copies of the document imposing the requirement with the information affixed as described in (a), above.
2. Procedure for Obtaining a Commission Override of an OMB Disapproved Collection of Information.
- a. Upon notice from the Director, DISS, of OMB's disapproval of a collection of information, the Office Director/Regional Administrator may recommend to the EDO that the Commission override that disapproval. The Office Director/Regional Administrator shall submit to the EDO a staff paper addressing the issues raised by OMB and a letter from the Chairman to the Director of OMB informing OMB of the Commission's decision to override and the reasons therefor (include IRM and OGC in the concurrence chain).
 - b. The Executive Director for Operations may recommend to the Commission that it override the disapproval by forwarding the staff paper and the OMB letter to the Commission.
 - c. The Commission by a majority vote may override an OMB disapproval of a collection of information.
 - d. If a majority votes to override, the Chairman will sign and forward the letter to OMB and the Office of the Secretary will prepare a memo to OGC to inform the staff of the Commission's decision.

- e. Upon receipt of the Chairman's letter, OMB will provide NRC with a control number. (The override will be valid for 3 years, at which time a renewal will be required.)
 - f. When the Commission overrides an OMB disapproval, the document imposing the requirement must include a statement that "This requirement has been approved by a majority vote of the Commissioners of the Nuclear Regulatory Commission pursuant to authority granted by P.L.96-511. The OMB control number is 3150-XXXX."
3. Procedures for Obtaining From OMB an Approval of a Collection of Information Which the Office Director/Regional Administrator Determines Must be Imposed Prior to the Expiration of Sixty (60) Days From the Estimated Date of OMB's Receipt of the Clearance Application.
- a. When an Office Director/Regional Administrator determines that a collection of information must be imposed prior to the expiration of the 60 days allowed for OMB review of the agency's clearance application, the letter transmitting the clearance application to OMB must address the following factors:
 - (1) Why the collection of information is essential to the mission of the agency.
 - (2) How public harm will result if normal clearance procedures are followed. This may include an unanticipated event which has occurred that would prevent or disrupt the collection of information or cause a statutory deadline to be missed if normal procedures are followed.
 - (3) A statement of the time period within which OMB should approve the collection of information.
 - (4) A statement indicating that all practical steps have been taken to consult with interested agencies and members of the public in order to minimize the burden of the collection of information.
 - b. The Administrator, Office of Information and Regulatory Affairs, OMB, shall approve or disapprove any such submission within the time requested by the Director, Office of Information Resources Management. If approved, an OMB control number will be assigned. The approval is in effect for a maximum period of 90 days after the date on which the Director, OMB, receives the submission, during which period approval must be obtained through procedures set forth in C.1, above. If OMB disapproves a collection of information requirement made pursuant to this subsection, procedures set forth in C.2, above, should be followed.

D. PROCEDURES FOR EXEMPTING FROM PRIOR OMB APPROVAL COLLECTIONS OF INFORMATION IMPOSED ON TEN (10) OR MORE PERSONS, LICENSEES, OR OTHER NON-FEDERAL ORGANIZATIONS DUE TO THE URGENCY OF THE NEED TO PROTECT THE PUBLIC HEALTH AND SAFETY

1. Emergency collections of information are exempted from prior OMB approval only in those rare instances where it is judged that an emergency action is needed to protect the health and safety of the public. This authority is to be implemented in a way consistent with Part III(C) of the CRGR Charter and Operating Procedures.
2. Emergency collections of information are not authorized unless the responsible NRC Office Director/Regional Administrator approves the use of the emergency procedures.
3. When issued to respondents, the emergency collections of information shall display the following statement, or its equivalent:

"This emergency collection of information was approved by OMB under control number 3150-0012. Comments on duplication, burden, and practical utility may be directed to the Office of Management and Budget, Paperwork Reduction Project (3150-0012), Washington, D.C. 20503."

4. The issuing Office/Region shall promptly provide a copy or description of any emergency collection of information to OMB via the Director, Office of Information Resources Management. Within 30 days of use of an emergency collection of information, NRC shall submit a supporting statement to OMB that will include a copy or description of the collection of information, and a description of the respondents, the burden imposed, and other background information to explain the need and purpose of the collection of information. The format required in a Supporting Statement described in Exhibit 3 should be used to prepare the required supporting statement.

E. NOTIFICATION REQUIREMENTS WHEN A COLLECTION OF INFORMATION IS IMPOSED (BY OTHER THAN RULE) ON NINE (9) OR FEWER PERSONS, LICENSEES, OR OTHER NON-FEDERAL GOVERNMENT ORGANIZATIONS

When an office imposes a collection of information requirement that will affect nine or fewer respondents, a statement must be included in the document imposing the requirement that "The requirement affects nine or fewer persons and therefore is not subject to the Office of Management and Budget review under P.L. 96-511."

EXHIBIT 1
NRC Form 408

NRC FORM 408 10-84 NRC 0230 Part I		U.S. NUCLEAR REGULATORY COMMISSION		
ASSESSMENT OF PROPOSED INFORMATION COLLECTION				
TO:	TITLE OF INFORMATION COLLECTION REQUIREMENT	DATE RECEIVED (in ADW)		
THE FOLLOWING FACTORS WERE CONSIDERED IN EVALUATING THE PROPOSED INFORMATION COLLECTION REQUIREMENT (If the response is not a "No" and is checked, "Yes" and is checked, "No")			YES	NO
1. The requirement is needed. (It is the best means to achieve a necessary regulatory objective.)				
2. The requirement has practical utility, i.e., the NRC has the capability to use the information in a timely and useful fashion.				
3. The schedule for imposing the requirement is reasonable.				
4. The requirement selected is the least burdensome method of achieving a necessary regulatory objective.				
5. The requirement does not duplicate or overlap requirements imposed by the NRC.				
6. The requirement does not duplicate or overlap requirements imposed by other Government agencies.				
7. The method used to estimate the burden is adequate.				
8. The burden estimates are reasonable when compared with similar requirements previously submitted.				
9. The method proposed for collecting or keeping the information is consistent with sound records management practices.				
10. The records retention period is sufficiently definitive and reasonable.				
11. The requirement adequately identifies the records to be maintained and the information to be reported.				
12. NRC administrative support requirements are sufficient to manage the information collection.				
13. The information collection will not cause NRC to exceed its Information Collection Budget.				
REMARKS (If an explanation to items 1 through 13 above, reference remark to item number)				
REVIEWER (Typed Name and Signature)			REVIEW DATE	
REVIEWING OFFICIAL (Typed Name and Signature)			DATE	

EXHIBIT 2

Standard Form 83

Standard Form 83

Request for OMB Review

Important

Read instructions before completing form. Do not use the same SF 83 to request both an Executive Order 12291 review and approval under the Paperwork Reduction Act.

Answer all questions in Part I. If this request is for review under E.O. 12291, complete Part II and sign the regulatory certification. If this request is for approval under the Paperwork Reduction Act and 5 CFR 1320, skip Part II, complete Part III and sign the paperwork certification.

Send three copies of this form, the material to be reviewed, and for paperwork—three copies of the supporting statement, to:

Office of Information and Regulatory Affairs
Office of Management and Budget
Attention: Docket Library, Room 3201
Washington, DC 20503

PART I.—Complete This Part for All Requests.

1. Department, agency, and Bureau/office originating request:

U.S. Nuclear Regulatory Commission

2. Agency code

3 1 5 0

3. Name of person who can best answer questions regarding this request:

Todd Harvey

Telephone number

(703) 524-7612

4. Title of information collection or rulemaking:

Regulatory Guide 12-1, Guide for Licensee Application for the Metaphysical Use of Byproduct Material

5. Legal authority for information collection or rule (cite United States Code, Public Law, or Executive Order)

42 USC 2201(o)

6. Affected public (check all that apply)

- 1 Individuals or households
2 State or local governments

- 3 Farms
4 Businesses or other for-profit

- 5 Federal agencies or employees
6 Non-profit institutions
7 Small businesses or organizations

PART II.—Complete This Part Only if the Request is for OMB Review Under Executive Order 12291

7. Regulation Identifier Number (RIN)

_____ or None assigned

8. Type of submission (check one in each category)

- Classification
1 Major
2 Nonmajor

Stage of development

- 1 Proposed or draft
2 Final or inter-final with prior proposal
3 Final or inter-final without prior proposal

Type of review requested

- 1 Standard
2 Pending
3 Emergency
4 Statutory or judicial deadline

9. CFR section affected

_____ CFR

10. Does this regulation contain reporting or recordkeeping requirements that require OMB approval under the Paperwork Reduction Act and 5 CFR 1320?

Yes No

11. If a major rule, is there a regulatory impact analysis attached?

1 Yes 2 No

If "No," did OMB waive the analysis?

3 Yes 4 No

Certification for Regulatory Submissions

In submitting this request for OMB review, the authorized regulatory contact and the program official certify that the requirements of E.O. 12291 and any applicable policy directives have been complied with.

Signature of program official

Date

Signature of authorized regulatory contact

Date

12. (OMB use only)

EXHIBIT 2 (Continued)

Standard Form 83, Page 2

PART III.—Complete This Part Only if the Request is for Approval of a Collection of Information Under the Paperwork Reduction Act and 5 CFR 1320.

13. Abstract—Describe needs, uses and affected public in 50 words or less "Radiation, Atom, Safety"
NRC's program to control the number of atoms in the public domain requires licensees to provide NRC information on how many atoms each licensee possesses.

14. Type of information collection (check only one)

Information collections not contained in rules

1 Regular submission

2 Emergency submission (certification attached)

Information collections contained in rules

3 Existing regulation (no change proposed)

6 Final or interim final without prior NPRM

7. Enter date of expected or actual Federal Register publication at this stage of rulemaking (month, day, year):

4 Notice of proposed rulemaking (NPRM)

A Regular submission

5 Final, NPRM was previously published

B Emergency submission (certification attached)

15. Type of review requested (check only one)

1 New collection

4 Reinstatement of a previously approved collection for which approval has expired

2 Revision of a currently approved collection

3 Extension of the expiration date of a currently approved collection without any change in the substance or in the method of collection

5 Existing collection in use without an OMB control number

16. Agency report form number(s) (include standard/optional form number(s))

NA

17. Annual reporting or disclosure burden

1 Number of respondents	100
2 Number of responses per respondent	50.8
3 Total annual responses (line 1 times line 2)	5,080
4 Hours per response	359.3
5 Total hours (line 3 times line 4)	1,825,000

18. Annual recordkeeping burden

1 Number of recordkeepers	NA
2 Annual hours per recordkeeper	
3 Total recordkeeping hours (line 1 times line 2)	
4 Recordkeeping retention period	years

19. Total annual burden

1 Requested (line 17-5 plus line 18-3)	1,825,000
2 In current OMB inventory	1,824,000
3 Difference (line 1 less line 2)	+1,000
Explanation of difference	
4 Program change	
5 Adjustment	+1,000

20. Current (most recent) OMB control number or comment number

3150-2222

21. Requested expiration date

July 1992

25. Are the respondents primarily educational agencies or institutions or is the primary purpose of the collection related to Federal education programs? Yes No

26. Does the agency use sampling to select respondents or does the agency recommend or prescribe the use of sampling or statistical analysis by respondents? Yes No

27. Regulatory authority for the information collection

CFR _____ ; or FR _____ ; or, Other (specify): Atomic Energy Act of 1954, as amended, Section 80

Paperwork Certification

In submitting this request for OMB approval, the agency head, the senior official or an authorized representative, certifies that the requirements of 5 CFR 1320, the Privacy Act, statistical standards or directives, and any other applicable information policy directives have been complied with.

Signature of program official

Date

Signature of agency head, the senior official or an authorized representative

Date

Joyce A. Amenta, DSO for Information Resources Management

STANDARD FORM 83A

Standard Form 83A
(Revised September 1983)
Instructions for Standard Form 83

Request for OMB Review
Instructions for Requesting OMB Review Under Executive
Order 12291 or Approval of a Collection of Information
Under the Paperwork Reduction Act and 5 CFR 1320

General Instructions

NOT
APPLICABLE

For requests for review under E.O. 12291, complete Parts I and II of the SF 83, sign the Certification for Regulatory Submissions and send three copies of the completed SF 83, three copies of the draft regulation and three copies of any supporting material (including a Regulatory Impact Analysis if required) to OMB.

For requests for approval of a collection of information, complete Parts I and III (skip Part II), sign the Paperwork Certification and send three copies of the completed SF 83 and three copies of the supporting statement and forms, questions, or other instruments for which approval is requested, to OMB. The submission must include the relevant portion of any statute, regulation, handbook or other document that establishes a recordkeeping, reporting, or disclosure requirement, and copies of the notice submitted to the *Federal Register* informing the public that OMB approval is being sought. (This notice is not required for collections of information in proposed rules submitted for OMB review under 5 CFR 1320.13.)

NOT
APPLICABLE

OMB will not accept a submission unless all entries in Part I and, as appropriate, Part II or Part III are completed and the SF 83 has been properly signed. Submissions for E.O. 12291 review must be signed by the appropriate program official and by the official responsible for reviewing submissions of regulations to OMB (OMB's authorized regulatory contact) or that person's designee. Submissions for approval of a collection of information must be signed by the appropriate program official and by either the agency head, the Senior Official designated under the Paperwork Reduction Act and 5 CFR 1320.8, or that person's designee.

Requests should be submitted to:

Office of Information and Regulatory Affairs
Office of Management and Budget
Attention: Docket Library, Room 3201
Washington, DC 20503

Note: Do not request review under E.O. 12291 and approval under the Paperwork Reduction Act and 5 CFR 1320 on the same SF 83.

Instructions for Part I

1. Department/Agency and Bureau/Office Originating Request.—Provide both the name of the department or agency and the name of the bureau or office within the department which is issuing the regulation or proposing the collection of information.
2. Agency Code.—OMB has assigned a four digit numerical code to each agency and will supply it upon request.
3. and 4.—Self explanatory.
5. Specific legal authority.—Cite title and section of the United States Code. If a regulation or a collection of information is authorized by more than one statute or section, cite the principal legal authority.

If a regulation or a collection of information is mandated or authorized by a law which has not yet been codified into the United States Code, cite the Public Law number. If a regulation or a collection of information is authorized only by Executive Order, cite the E.O. number.

6. Affected Public.—Check all categories that apply. Note that if a significant effect on small business is predicted, the Regulatory Flexibility Act requires agencies to evaluate alternatives to mitigate this impact and 5 CFR 1320.6(h) requires agencies to take all practical steps to develop separate and simplified collection of information requirements for small businesses and other small entities. SBA's Office of Advocacy is available to assist agencies in evaluating the impact of their proposal on small business. OMB may ask for additional information on the specific industries affected (e.g., by Standard Industrial Classification) or other relevant data.

NOT APPLICABLE TO NRC
Instructions for Part II

General Instructions

Executive Order 12291 defines a regulation as any "agency statement of general applicability and future effect designed to implement, interpret, or prescribe law or policy, or describing the procedure or practice requirements of an agency." This includes more than proposed and final rules. Statements of policy that appear in the *Federal Register* as notices rather than rules, as well as guideline documents and policy statements that are not published in the *Register*, are to be submitted for OMB review if they set or interpret agency policy.

The following are not subject to OMB E.O. 12291 review:

- a. Regulations issued by the—
General Accounting Office,
Federal Election Commission,
Independent regulatory
commissions as defined in
44 U.S.C. 3502(10).
Facilities and laboratories owned by
the Federal Government but
operated by contractors, and
Governments of the District of
Columbia, and U.S. territories
and possessions.

b. Regulations issued with respect to a military or foreign affairs function of the United States.

c. Regulations related to internal agency organization, management or personnel.

Specific Instructions

7. Regulation Identifier Number (RIN).—This is the number that the Regulatory Information Service Center assigns to a regulatory action when it is submitted for publication in the *Unified Agenda of Federal Regulations*. If a RIN has not been assigned to this regulatory action, check "None assigned."

8. Type of Submission (check one in each category).—

Classification

1. and 2.—Check "major" if the regulation is likely to result in:

- An annual effect on the economy of \$100 million or more; or
- A major increase in costs or prices for consumers, individual industries, Federal, State, or local governments, or geographic regions; or

Significant adverse effects on competition, employment, investment, productivity, innovation, or on the ability of the U.S. based enterprises to compete with foreign based enterprises in domestic or export markets.
Otherwise, check "nonmajor."

Stage of Development

Self explanatory for regulations issued through informal rulemaking.

A guideline document or other regulation which is not issued through informal rulemaking should be submitted as.

STANDARD FORM 83A (Continued)

1. Proposed or draft.—If, following OMB review, the regulation will be circulated outside the agency for comment, and then revised and resubmitted to OMB.

2. Final or interim final, with prior proposal.—If an earlier version of the regulation had been reviewed by OMB, circulated for outside comment, revised, and is now ready for final issuance.

3. Final or interim final, without prior proposal.—If the regulation will proceed directly from internal agency review to OMB for review before final issuance without being circulated for outside comment and appropriate revision.

Type of Review Requested

1. Standard.—Refers to the normal process of submitting a proposed or final regulation to OMB for review under section 3 of E.O. 12291.

2. Pending.—Refers to OMB's review, under section 7 of E.O. 12291, of rules which were issued in final (or proposed) form before February 17, 1981, and which are about to take effect (or become final). Agencies should review section 7, paragraphs (b), (d), and (f) of the Executive Order for further instructions.

3. Emergency.—Refers to OMB's review, under section 8(a)(1) of E.O. 12291, of regulations which the agency has chosen to publish without prior OMB review in order to respond to an emergency situation.

4. Statutory or judicial deadline.—Refers to OMB's review, under section 8(a)(2) of E.O. 12291, of regulations which the agency has chosen to publish without prior OMB review in order to avoid violating a statutory or judicial deadline.

9. CFR Section Affected.—Cite as specifically as possible the section of the *Code of Federal Regulations* which will be affected by the regulation being submitted. If the regulation affects more than one section of the CFR, cite to the principal section affected. If the regulation is not to be published in the *Federal Register* or otherwise codified into the CFR (and therefore will not actually revise CFR text), cite the CFR section which is most closely related to the submission.

10. Self explanatory.

11. Is a Major Rule, Is There a Regulatory Impact Analysis Attached?—A regulatory impact analysis must accompany the submission of a major regulation unless OMB has waived the analysis.

12. (OMB USE ONLY)

**Instructions for Part III
General Instructions**

These instructions should be used in conjunction with 5 CFR 1320, which provides information on coverage, definitions, and other matters of procedure and interpretation under the Paperwork Reduction Act of 1980. If you have any questions, contact the OMB Desk Officer for your agency.

Page 2

Specific Instructions

13. Abstract.—Provide a statement of not more than 50 words covering the agency's need for the information, the uses to which it will be put, and a brief description of the respondents.

14. Type of Information Collection.—Check only one category. If the collection of information is not explicitly set forth in a rule, check either 1 or 2. Regular submissions (1) are those which are reviewed under 5 CFR 1320.12. Emergency submissions (2) must include the certification required by 5 CFR 1320.17(a). In addition, agencies requesting emergency clearance must provide the information required by 1320.17(b) and (c). If the submission does not meet the requirements for an emergency clearance, the agency's Clearance Officer may ask the OMB Desk Officer for an expedited review.

If the collection of information is explicitly set forth in a rule, check one of the categories 3 through 6. If it is in an existing regulation to which no change is proposed, check 3. If it is submitted with a Notice of Proposed Rulemaking (NPRM) under 5 CFR 1320.13, check 4. If it is contained in a final regulation for which an NPRM had been published, check 5. If the collection of information is contained in a final or interim final rule for which an NPRM had not been published, check 6A or 6B. (See above for a discussion of material to be submitted with requests for emergency clearances.)

15. Type of Review Requested (check only one category).—

1. New.—If this collection of information has not previously been conducted or sponsored by the agency.

2. Revision.—If this collection of information is currently approved by OMB, and the agency wishes to make a substantive or material change in the collection, its burden estimate, or the use to which the information is to be put.

3. Extension.—If this collection of information is currently approved by OMB, and the agency wishes only to extend the approval past the currently assigned expiration date without making any other change in the collection of information or its burden estimate.

4. Reinstatement.—If this collection of information previously held OMB approval, but the approval has expired or was withdrawn before this submission was made.

5. Existing collection in use without an OMB control number.—If this collection of information is currently in use but does not have a currently valid OMB control number.

16. Agency Report Form Number(s).—Supply any identifying numbers or codes that the agency has assigned to the collection of information. If the instrument is a Standard or Optional Form, or is being proposed for such use, the submission to OMB by the agency must be through the General Services Administration (see 5 CFR 1320.15 for further information about this procedure).

17. and 18. Annual Reporting or Disclosure Burden, and Annual Recordkeeping Burden.—The definition of burden, and a discussion of burden elements, is contained in 5 CFR 1320.7(b).

In general, burden includes, but is not limited to, the time required to:

- Read or hear any instructions;
- Generate the information;
- Process, compile, and review the information; and
- Record, disclose, or report the information.

The burden of making any required reports or disclosures should be reported at question 17 and should include the burden of keeping records necessitated by the disclosure or report. The burden of keeping any required records not necessitated by a disclosure or reporting requirement should be reported at question 18.

18-4.—If the recordkeeping retention period is not specified as a number of years—for example, if records are to be retained for the life of a given machine—enter a point estimate (not a range) at 18-4, and explain the estimate in the supporting statement.

For collections of information contained in *new proposed rules*, enter zero (0) on the SF 83 and describe the burden to be imposed, if the regulation becomes final, in the supporting statement. If the *proposed rule revises* an existing collection of information, enter the burden level for the existing requirement on the SF 83 and explain the burden impact of the revision in the supporting statement. In both cases, at the time of publication of the final regulation, the agency must inform OMB of the actual burden of the collection of information.

* If several collections of information are submitted to OMB for approval in a single package (covered by an SF 83), describe the burden for each collection in the supporting statement, and provide an estimate of the burden for the entire submission at questions 17 and 18.

19. Total Annual Burden.—

1. Enter the sum of the annual reporting burden (17-5) and the annual recordkeeping burden (18-3) on this line.

2. Enter the burden (hours) currently approved by OMB for this collection of information.

• Enter zero (0) for any collection whose OMB approval has expired.

• Enter zero (0) for a new submission.

3. Enter the difference between 19-1 and 19-2 on this line. The difference, if any, must be explained at lines 19-4 and/or 19-5.

4. Program Change.—is a change in burden which is the result of deliberate action by the Government. Examples of program changes are:

- Adding, dropping, or changing questions.
- Changing the frequency of a collection of information.
- Requiring or requesting more, fewer, or different respondents to record, retain, disclose, or report information.
- Changing eligibility requirements for an assistance program in a way that changes the number of applicants or potential applicants for the benefit.

STANDARD FORM 83A (Continued)

5. Adjustment.—is a change in burden which is not the result of deliberate agency action. Examples of adjustments are:

- Corrections of errors in burden estimates.
- Corrections of the record to provide an estimate of the burden for a collection of information currently in use without an OMB control number.
- Reestimates in burden due to factors outside the agency's control, such as population changes, a change in the number of firms in an industry, or a change in use because a different number of respondents decide to respond or to make use of the collection of information instrument.

20. Current (or most recent) OMB Control Number or Comment Number.—If the collection of information had previously received or now has an OMB control number or comment number, enter the number. If the collection has had different numbers, or has had both a control number and a comment number, enter the number that was most recently assigned.

21. Requested Expiration Date.—Enter the month and year through which OMB approval is requested. The date should be no more than three years from the expected date of OMB approval. For "emergency" approvals submitted under the provisions of 5 CFR 1320.17 the requested date should not be more than 90 days after the date of OMB's receipt of the agency's submission.

22. Purpose.—

1. Application for benefits.—is a collection of information which a person completes in order to participate in, receive, or qualify for a grant, financial assistance, or other benefit (including employment) from a Federal agency or program.

2. Program evaluation.—is a formal assessment, through objective measures and systematic analysis, of the manner and extent to which Federal programs achieve their objectives or produce other significant effects. It is used to assist internal agency management and policy making.

3. General purpose statistics.—Are data collected chiefly for use by the public or for general government use, without primary reference to the policy or program operations of the agency collecting the

data. This category should also be used to indicate activities required to design, manage, or evaluate general purpose statistical programs.

4. Regulatory or compliance.—Are collections of information undertaken for the purpose of measuring or enforcing compliance with laws or regulations. The category includes collections of information incidental to regulation, such as applications for waiver and exemptions. Applications for licenses, certificates, and the like, are also included in this category.

5. Program planning or management.—Includes all collections of information (other than program evaluation and audits) relating to progress reporting and grants management, financial and supply management, procurement and quality control, and other collections of administrative information that do not fit in any other category. This category also includes surveys and other collections of information used to develop new regulations or to review existing regulations.

6. Research.—Refers to collections of information to further the course of scientific or medical research, rather than for a specific program purpose.

7. Audits.—Refers to collections of information conducted for the purpose of verifying the accuracy of accounts and records.

23. Frequency of Recordkeeping or Reporting.—

1.—If the collection of information request or requirement explicitly includes a recordkeeping requirement, check this item. If the collection of information also includes a disclosure or reporting component, check the appropriate item 2 through 9.

2 through 9.—For collections of information that involve reporting, check the frequency of reporting that is requested or required of a respondent. If the reporting is on "an event" basis, check "on occasion" (item 2). Also check item 2 for all disclosure requirements.

24. Respondent's Obligation to Reply.—

1. Voluntary.—Means that response is entirely discretionary and has no direct effect on any benefit or privilege for the respondent.

2. Required to obtain or retain a benefit.—Means that the response is elective, but is required to obtain or retain a benefit. This includes licensing and permit requirements.

3. Mandatory.—Means that the respondent must reply or face civil or criminal sanctions. OMB will recognize a collection of information as being mandatory only if a statute expressly:

- Requires respondents to provide the information, or
- Authorizes an agency to require the respondents to provide the information.

If more than one status applies (for example, the first page of a form is mandatory but the second page is optional), check the box which corresponds to the strongest obligation to respond. (Mandatory is the strongest obligation, and voluntary is the weakest.)

25. Self explanatory.

26. Does the Agency Use Sampling to Select Respondents or Does the Agency Recommend or Prescribe the Use of Sampling or Statistical Analysis by Respondents?—Check "Yes" if information is collected from a subset of all potential respondents on the basis of a selection made by the agency, and the results are used to infer the characteristics of the whole from the sample. Also check "Yes" if the respondents are asked or required to use similar sampling or other statistical techniques in generating or collecting the information requested or required by this collection.

27. Regulatory Authority for the Information Collection.—If the regulatory authority is contained in an existing regulation, cite as specifically as possible to the principal section of the *Code of Federal Regulations* which states the requirement. If the requirement is contained in a regulation that has not yet been codified into the CFR, cite the final rule and provide the date it appeared in the *Federal Register*.

A supporting statement, as described on page 4, must accompany each request for approval of a collection of information.

STANDARD FORM 83A (Continued)

Supporting Statement for Requests for OMB Approval
Under the Paperwork Reduction Act and 5 CFR 1320

General Instructions

A supporting statement must accompany each request for approval of a collection of information. The statement must be prepared in the format described below, and all statements must contain the information specified in Section A below. If an item is not applicable, provide a brief explanation. If Section B does not apply, indicate that the collection does not employ statistical methods.

OMB reserves the right to require the submission of additional information with respect to any request for approval.

Specific Instructions

A. Justification.—Requests for approval shall:

1. Explain the circumstances that make the collection of information necessary. Include identification of any legal or administrative requirements that necessitate the collection.
A copy of the appropriate section of each statute and of each regulation mandating or authorizing the collection of information should be attached to the supporting statement.
2. Indicate how, by whom, and for what purpose the information is to be used and the consequence to Federal program or policy activities if the collection of information was not conducted.
3. Describe any consideration of the use of improved information technology to reduce burden and any technical or legal obstacles to reducing burden.
4. Describe efforts to identify duplication.
5. Show specifically why any similar information already available cannot be used or modified for use for the purpose(s) described in 2.
6. If the collection of information involves small businesses or other small entities, describe the methods used to minimize burden.
7. Describe the consequence to Federal program or policy activities if the collection were conducted less frequently.
8. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with the guidelines in 5 CFR 1320.6.
9. Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.
Consultation with representatives of those from whom information is to be obtained, or those who must compile records, should occur at least once every three years -- even if the collection of information activity is the same as in prior periods. There may be circumstances that mitigate against consultation in a specific situation. These circumstances should be explained in the supporting statement.

SEE
EXHIBIT 5

In the supporting statement, provide:

- a. The names and telephone numbers of those consulted and the year in which the consultation took place. Indicate the agencies, companies, State or local governments, or other organizations represented by those consulted.
 - b. A summary of any major problems that could not be resolved during consultation.
 - c. A description of other public contacts and opportunities for public comment, and a summary of the comments received.
10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.
 11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.
 12. Provide estimates of annualized cost to the Federal Government and to the respondents. Also provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without the paperwork burden.
 13. Provide estimates of the burden of the collection of information. The statement should:
 - Provide number of respondents, frequency of response, annual burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not make special surveys to obtain information on which to base burden estimates. Consultation with a few potential respondents is desirable. If the burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated burden, and explain the reasons for the variance.
 - If the request for approval is for more than one form, provide burden estimates for each form for which approval is sought and summarize the burdens on the SF 83. If only one form is submitted, you need not duplicate the information entered on the SF 83.
 - If the proposed collection of information was not included in the agency's Information Collection Budget (ICB) or if the burden shown on the SF 83 is different from that in the ICB, explain the difference.
 14. Explain reasons for changes in burden, including the need for any increase

15. For collections of information whose results are planned to be published for statistical use, outline plans for tabulation, statistical analysis, and publication. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.

B. Collections of Information Employing Statistical Methods.—Descriptions of collections of information submitted for approval that employ statistical methods shall contain the following information. References to stratification may be ignored if that technique is not used.

If the collection of information does not employ statistical methods, so indicate.

If the collection employs statistical methods:

1. Describe (including numerical estimate) the potential respondent universe and any sampling or other respondent selection method to be used. Data on the number of entities (e.g., establishments, State and local government units, households or persons) in the universe covered by the collection and in the corresponding sample are to be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. The tabulation should also indicate expected response rates for the collection as a whole. If the collection had been conducted previously, the actual response rate achieved during the last collection should be noted.
2. Describe the procedures for the collection of information including:
 - Statistical methodology for stratification and sample selection,
 - Estimation procedure,
 - Degree of accuracy needed for the purpose described in the justification,
 - Unusual problems requiring specialized sampling procedures, and
 - Any use of periodic (less frequent than annual) data collection cycles to reduce burden.
3. Describe methods to maximize response rates, and to deal with issues of nonresponse. The accuracy and reliability of information collected must be shown to be adequate for intended uses.
 - For collections based on sampling, a special justification must be provided for any collection that will not yield "reliable" data that can be generalized to the universe studied.
4. Describe any tests of procedures or methods to be undertaken.
Testing is encouraged as an effective means of refining collections of information to minimize burden and improve utility. Tests must be approved if they call for answers to identical questions from ten or more respondents. A proposed test or set of tests may be submitted for approval separately or in combination with the main collection of information.
5. Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.

EXHIBIT 3

OMB SUPPORTING STATEMENT FOR REGULATORY GUIDE 12½
GUIDE TO LICENSE APPLICATION FOR METAPHYSICAL
USE OF BYPRODUCT MATERIAL

Description of the Information Collection

Regulatory Guide 12½ recommends that persons licensed for the metaphysical use of byproduct material count the number of atoms in their possession and report the number to the NRC quarterly.

A. JUSTIFICATION

1. Need for the Collection of Information. Section 80 of the Atomic Energy Act of 1954 requires the NRC to limit the number of atoms possessed by any licensee at any point in time. In order to fulfill the requirements of the Act, NRC needs to know how many atoms each licensee possesses.
2. Agency Use of Information. The quarterly Atom Accounting Report is sent to the Atom Accounting and Control Branch, NMSS. There the most recent accounting is compared to the previous atomic number to determine whether the licensee has created or destroyed matter during the quarter. If the requested information is not collected, the NRC program to control the number of atoms in the public domain cannot be implemented.
3. Reduction of Burden Through Information Technology. There are no legal obstacles to reducing the burden associated with this information collection; however, technical difficulties prevent reducing the burden below its current level. Automated atom counting and reporting systems have been developed; however, their present inability to detect and report atoms with counter-clockwise rotation prevents their use for the reporting recommended by this guide.
4. Effort to Identify Duplication. The Federal Information Locator System was searched to determine NRC and other Federal agency duplication. Minimal duplication was found in EPA's waste atom accounting program. Under that program certain persons must report the number of waste atoms discarded each quarter.
5. Effort to Use Similar Information. This information in the EPA program could be used as a portion of their Atom Accounting Report, however, even with respect to the small number of persons subject to the EPA program, waste atoms represent only a small fraction of the atoms which must be reported to NRC.

EXHIBIT 3 (CONTINUED)

6. Effort to Reduce Small Business Burden. Approximately 75% of the persons licensed for the metaphysical use of byproduct material are small businesses. Since the consequences of exceeding the possession limit specified in the license is the same for large and small entities it is not possible to reduce the burden on small businesses by less frequent or less complete accounting or control procedures.
7. Consequences of Less Frequent Collection. If the requested information is collected less frequently, the licensee may exceed the possession limit specified by his license without detection by NRC. This would endanger public and worker safety by altering the energy/matter balance in the universe.
8. Circumstances Which Justify Variation From OMB Guidelines. Contrary to OMB guidelines, one original and four copies are recommended for submission to NRC. The original goes to NRC's Atom Accounting and Control Branch, and one copy goes to the appropriate NRC Regional Office for use in making inspections of the licensees' facilities. NRC sends one copy to EPA for use in its waste atom program. Due to the potential effect on common defense and security of an atomic imbalance, NRC sends one copy to the Department of Defense and one copy to the Department of Energy.
9. Consultations Outside the NRC. The persons listed in Attachment A were contacted to obtain their views on the collection of information.
10. Confidentiality of Information. NRC provides no pledge of confidentiality for this collection of information.
11. Justification for Sensitive Questions. In very few cases Regulatory Guide 12½ requests sensitive information on religious beliefs. No other sensitive information normally considered private is requested. This sensitive information may affect the licensee's ability to use byproduct material in metaphysical use.
12. Estimated Annualized Cost to the Federal Government. The collection of information will require an average of 4 hours of NRC staff time per report. For 100 respondents the collection will require 1600 hours per year. (4 hr./report x 100 reports/quarter x 4 quarter/yr = 1600 hrs/yr.) Annual labor cost at \$60 per staff hour will be \$96,000. Additional costs of information-storage, coding, tabulation and analysis will be approximately \$1000 per year. Total annual cost to the Federal government will be approximately \$97,000 per year.

The estimate of labor cost is based on time records kept by personnel in the Atom Accounting and Control Branch for the past 3 years. Estimates of additional costs are based on actual material and service purchase records.

EXHIBIT 3 (CONTINUED)

13. Estimate of Burden.

- a. The estimated annual burden for this information collection ranges from 1,000 hours for licensees with low possession limits to 100,000 hours for licensees with high possession limits. Details of the burden estimate are provided in Attachment B. Total annual industry burden is 1,825,000 hours.
- b. Estimated annual cost per respondent to respond to the collection ranges from \$60,000 (\$60/hr x 1,000 hrs) to \$6,000,000 (\$60/hr. x 100,000 hrs.) See Attachment B. Total annual industry cost is \$109,500,000.
- c. Licensees in three groups, low, medium, and high possession limit, were contacted by telephone and asked to provide actual cost information. This data was assumed to be typical for other licensees in each group.

14. Reasons for Change in Burden. The burden estimated here represents an increase of 1,000 hours and \$60,000 over the annual industry burden estimated under the current clearance. The increase results from the licensing of one additional person for the metaphysical use of byproduct material at a low possession limit.

15. Publication for Statistical Use. NRC tabulates and publishes an annual summary of the information included in the quarterly Atom Accounting Reports. Tabulation of data begins in the third quarter of each year, and is updated to reflect data in the final quarter. The annual summary is usually published during the second quarter of the year following the year in which the data was collected.

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

Statistical methods are not used in the collection of information. The Regulatory Guide recommends that each person licensed for the metaphysical use of byproduct material submit an Atom Accounting Report.

ATTACHMENT A

OMB SUPPORTING STATEMENT FOR REGULATORY GUIDE 12½
GUIDE FOR LICENSE APPLICATION FOR THE METAPHYSICAL
USE OF BYPRODUCT MATERIAL

<u>Name</u>	<u>Affiliation</u>	<u>Phone</u>	<u>Year</u>	<u>Outstanding Problems</u>
Grayson Nuclide	Atomic Indust. Forum	007-6543	1984	None
Emmet P. Quark	Assoc. of Physicists in Paranormal Science	007-4567	1983	Need to distinguish red and blue atoms in report

In addition, a public hearing on the provisions of Regulatory Guide 12½ was held in 1983. Three hundred persons attended. Twenty persons presented their views.

ATTACHMENT B

OMB SUPPORTING STATEMENT FOR REGULATORY GUIDE 12½

<u>NUMBER OF RESPONDENTS</u>	<u>FREQUENCY OF RESPONSE</u>	<u>RESPONDENT ANNUAL BURDEN HRS</u>	<u>INDUSTRY ANNUAL BURDEN HRS.</u>	<u>RESPONDENT ANNUAL BURDEN \$</u>	<u>INDUSTRY ANNUAL BURDEN \$</u>	<u>BASIS FOR ESTIMATE</u>
Low Limit Licensees						
75	quarterly	1,000	75,000	\$ 60,000	\$ 4,500,000	Telephone Survey
Medium Limit Licensees						
15	quarterly	50,000	750,000	\$3,000,000	\$45,000,000	Telephone Survey
High Limit Licensees						
10	quarterly	100,000	1,000,000	\$6,000,000	\$60,000,000	Telephone Survey
<hr/>						
Totals						
100			1,825,000		\$109,500,000	

EXHIBIT 4

[7590-01]

NUCLEAR REGULATORY COMMISSION

Documents Containing Reporting or Recordkeeping Requirements: Office of Management and Budget (OMB) Review

AGENCY: Nuclear Regulatory Commission (NRC)

ACTION: Notice of the OMB review of information collection

SUMMARY: The Nuclear Regulatory Commission has recently submitted to OMB for review the following proposal for collection of information under the provisions of the Paperwork Reduction Act (44 U.S.C. Chapter 35).

1. Type of submission, new, revision, or extension: Revision
2. The title of the information collection: Regulatory Guide 12-1/2, Guide to License Application for Meta-physical Use of Byproduct Material
3. The form number if applicable: Not applicable
4. How often the collection is required: Quarterly
5. Who will be required or asked to report: Material Licensees
6. An estimate of the number of responses: 5,080
7. An estimate of the number of hours annually needed to complete the requirement or request: 1,825,000 (1359 hours per response)
8. An indication of whether Section 3504(h), Pub. L. 96-511 applies: Not applicable
9. Abstract:

NRC collects reports of operational events at commercial nuclear power plants in order to incorporate lessons of that experience in the licensing process and to feedback the lessons of that experience to the nuclear industry.

Copies of the submittal may be inspected or obtained for a fee from the NRC Public Document Room, 2120 L Street, N.W., Washington, D.C.

Comments and questions can be directed by mail to the OMB reviewer:

Nicolas B. Garcia
Paperwork Reduction Project (3150-2222)
Office of Management and Budget
Washington, D.C. 20503.

Comments can also be submitted by telephone at (202) 395-3084.

The NRC Clearance Officer is Brenda Jo. Shelton, (301) 492-8132.

Dated at Bethesda, Maryland this day of 1989.

For the Nuclear Regulatory Commission.

Joyce A. Amenta, Designated Senior
Official for Information Resources
Management

EXHIBIT 5

5 CFR 1320.6, General Information
Collection Guidelines

§ 1320.6 General Information Collection Guidelines

Unless the agency is able to demonstrate that such collection of information is necessary to satisfy statutory requirements or other substantial need, OMB will not approve a collection of information:

- (a) Requiring respondents to report information to the agency more often than quarterly;
- (b) Requiring respondents to prepare a written response to an information collection request or requirement in fewer than 30 days after receipt of it;
- (c) Requiring respondents to submit more than an original and two copies of any document;
- (d) Requiring grantees to submit or maintain information other than that required under OMB Circulars A-102 or A-110;
- (e) Providing for remuneration of respondents, other than contractors or grantees;
- (f) Requiring respondents to retain records, other than health, medical, or tax records, for more than three years;
- (g) In connection with a statistical survey that is not designed to produce results that can be generalized to the universe of study;
- (h) Unless the agency has taken all practicable steps to develop separate and simplified requirements for small businesses and other small entities;
- (i) Requiring respondents to submit proprietary, trade secret, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect its confidentiality to the extent permitted by law;
- (j) Requiring respondents to maintain or provide information in a format other than that in which the information is customarily maintained.

PART II
INTERAGENCY REPORTING

A. COVERAGE

Interagency reports are those reports requested by one Federal agency from another Federal agency, and they must be submitted to the General Services Administration (GSA) for approval in accordance with 41 CFR 201-45.6. This Part applies to new, modified, renewal, or cancellation requests for recurring interagency reports required by the NRC of any other Federal agency. This Part also applies to requests for reports made to NRC by other Federal agencies. In those cases in which another Federal agency is acting in the role of an NRC licensee or applicant, information collection requirements are covered by the Office of Management and Budget (OMB) clearance procedures under the Paperwork Reduction Act. Such requirements are not considered interagency reports subject to GSA approval.

This Part does not apply to (1) Legislative branch reports or requirements in statutes or Congressional committee requests; (2) Office of Management and Budget or other Executive Office of the President reports; or (3) Judicial branch reports required by court order or decree. However, interagency reports required by Federal agencies to respond to exempted requirements (e.g., Congressional requests, budget reports, etc.) are subject to this Part. Interagency reporting requirements for security classified information are also exempt from this Part.

B. PROCEDURES FOR OBTAINING THE AUTHORITY TO REQUEST
INTERAGENCY REPORTS

1. Headquarters or Regional Offices requiring information from another Federal agency shall:
 - a. Request from the Interagency Reports Coordinator (IRC) through its Information Management Coordinator (IMC), at least 5 months prior to initiating a reporting requirement, a determination of whether or not the proposed interagency report has been approved previously or if a similar report exists that would satisfy the information need.
 - b. Provide to the IRC through its IMC, within 4 months of initiating a reporting requirement, a draft of the Interagency Reporting Request (IRR) that includes one copy of the information outlined in section C below.
 - c. Submit to the IRC through its IMC a final IRR (original and two copies) after receiving approval from the IRC to finalize the submittal.

2. The IRC shall:
 - a. Upon being contacted by the IMC, determine if an existing GSA approved report exists.
 - b. Assess the draft IRR against the check list of evaluation factors contained on NRC Form 487 (Exhibit 4), and give preliminary approval to the requester to proceed with preparation of the final IRR.
 - c. Notify GSA of the pending request and obtain GSA approval to submit the request.
 - d. Instruct the originating Office through its IMC to prepare and submit the final IRR.
 - e. Upon receipt of the IRR, review for compliance, completeness, and accuracy.
 - f. Forward the package to the Designated Senior Official (DSO) with recommendation for approval/disapproval.
 - g. Forward the DSO approved IRR to GSA for review and approval.
 - h. Forward the GSA response to the originating Office (if GSA disapproves, coordinate actions necessary to obtain approval).
 - i. Notify the IMC of GSA's approval and that the report request can be made.
 - j. Maintain case files of all interagency reports.
 - k. Maintain listing of active interagency reports.
 - l. Review the NRC list of Interagency Reports for need, adequacy, design, and economy of use, and annually recommend to the DSO the reports that might be modified or eliminated.

C. CONTENT AND FORMAT FOR AN INTERAGENCY REPORTING REQUEST (IRR)

A complete IRR contains the following documents:

- Completed Standard Form 360, "Request for Clearance of an Interagency Reporting Request (Exhibit 1)." (Submit the original and two copies.) The figures required in Item 9 are derived from Optional Form 101, (Exhibit 3).
- A justification statement addressing each of the items set forth in Exhibit 2. (Submit an original and two copies.)
- Completed Optional Form 101, "Summary Worksheet for Estimating Reporting Costs," (Exhibit 3). (Submit an original and two copies.)

- The proposed reporting form, if any, which the responding Federal agency will use to provide the NRC requested information. (Submit draft original and two copies.)
- The directive, letter, or other communication, proposed or final, which authorizes or explains the reporting requirement to the respondent. (Submit an original and two copies.)
- Identification of the responding Federal agencies required or requested to provide the report.
- A transmittal memorandum concurred in by the Branch Chief, originating Office, and the IMC stating the authority and need for a new report, the reasons for the revision of an existing report, the reason for cancelling an existing report, and the effect of the proposed action, if any, on other reporting requirements.
- Three copies of the communication that will be used to make the request to the responding Federal agency.

D. PROCEDURES FOR RESPONDING TO A REQUEST FOR DATA FROM ANOTHER FEDERAL AGENCY

1. Each Headquarters or Regional Office, upon receipt of a request for an interagency report, shall coordinate the request with their Information Management Coordinator who will:
 - a. Review the request to ensure the package contains all of the information required by D.2.(b).
 - b. Submit a copy of the request to the Interagency Reports Coordinator (IRC) for review and recommended disposition.
 - c. Upon receipt of the IRC recommendation, prepare appropriate response.
 - d. Submit a copy of the official agency response to the IRC.
2. The Interagency Reports Coordinator (IRC) upon receipt of the request package will:
 - a. Ensure that the reporting requirement has GSA approval.
 - b. Ensure that the requesting agency provides the following information:
 - (1) Purpose of report
 - (2) Report title
 - (3) Whether the response is mandatory or voluntary
 - (4) The Interagency Report Control Number
 - (5) Report format
 - (6) Preparation instructions

- (7) List of responding agencies
- (8) Frequency of use
- (9) Number of copies required
- (10) Mailing address
- (11) Due date
- (12) Name and telephone number of contact person
- (13) Whether a negative response is required

- c. Recommend approval/disapproval of the request.
- d. Notify the concerned Office of the recommendation to approve/disapprove.
- e. Maintain case files on IRC actions and the official agency response to requests for interagency reporting.
- f. Maintain inventory of all approved interagency reporting requirements.
- g. Conduct periodic audits of agency interagency reporting.

E. PROCEDURES FOR APPEALING DISAPPROVALS OF REPORTING REQUESTS

1. Reporting requests disapproved by the DSO may be forwarded by the originating Office to the EDO for final resolution.
2. The appeal request should contain:
 - a. a copy of the DSO's justification for disapproval;
 - b. the complete IRR as submitted to the DSO; and
 - c. refutation of DSO's disapproval with appropriate documentation to assist the EDO in making a final decision.
3. The EDO will review the appeal request and will notify the originating Office, the DSO, and the IRC of the final decision. If the appeal is approved, the IRC will forward the IRR to GSA for review and approval.

EXHIBIT 1

STANDARD FORM 360

REQUEST TO APPROVE AN INTERAGENCY REPORTING REQUIREMENT				FOR GSA'S INTERAGENCY REPORTS USE	
<p>INSTRUCTIONS: Submit an original and one copy of the proposed report, the supporting directive, and a justification statement to GSA (KMAS), Washington, D.C. 20405. See FIRM (41 CFR) 201-45.6 for further instructions.</p> <p>NOTE: For approved reports, the interagency control number must appear in the directive requiring the report. If a form is needed to collect data, the agency must place the report control number in the upper right corner of the form. Consult with the interagency reports staff before submitting this form for clearance of a new interagency reporting requirement.</p>				1a. REPORT CONTROL NO.	
				1b. EXPIRATION DATE	
2. NAME, ADDRESS, AND ZIP CODE OF REQUESTING AGENCY			3. TITLE OF REPORT		
<p>4. TYPE OF REQUEST</p> <input type="checkbox"/> a. NEW <input type="checkbox"/> b. EXTENSION (No change) <input type="checkbox"/> c. REVISION <input type="checkbox"/> d. REINSTATEMENT <input type="checkbox"/> e. WAIVER		<p>5. FREQUENCY OF USE</p> <input type="checkbox"/> a. ONCE ONLY <input type="checkbox"/> f. SEMIANNUALLY <input type="checkbox"/> b. ON OCCASION <input type="checkbox"/> g. ANNUALLY <input type="checkbox"/> c. WEEKLY <input type="checkbox"/> h. BIENNIALY <input type="checkbox"/> d. MONTHLY <input type="checkbox"/> e. QUARTERLY		<p>6. REVISIONS AND EXTENSIONS</p> 6a. INTERAGENCY REPORT CONTROL NO. 6b. EXPIRATION DATE	
7. LAW OR REGULATION(S) REQUIRING THIS REPORT					
8. CANCELED OR MODIFIED REPORTS OR FORMS (List by title and interagency report control or OMB approval number, reports and forms to be canceled or modified by the report.)					
<p>9. SUMMARY OF ESTIMATED REPORTING WORKLOAD</p> A. NO. OF RESPONDING AGENCIES B. NO. OF TIMES THIS REPORT IS TO BE SUBMITTED YEARLY BY EACH RESPONDING AGENCY C. TOTAL NO. OF REPORTS SUBMITTED ANNUALLY (A x B)		<p>10. SUMMARY OF ESTIMATED REPORTING COSTS</p> A. DEVELOPMENTAL COSTS B. ANNUAL OPERATING COSTS C. ANNUAL USER COSTS D. TOTAL		<p>REQUIRING AGENCY (1)</p>	<p>RESPONDING AGENCIES (2)</p>
				TOTAL (1+2)	
11. REMARKS					
12. OMB APPROVAL (Complete only if report requires OMB approval)					
<p>a. REQUEST SUBMITTED TO OMB</p> <input type="checkbox"/> YES <input type="checkbox"/> NO		b. OMB APPROVAL NO. (if any)		c. DATE SUBMITTED	
				d. EXPIRATION DATE	
13a. NAME OF ORIGINATING PROGRAM OFFICIAL			13b. TELEPHONE NO.		13c. DATE
14a. SIGNATURE OF INTERAGENCY REPORT COORDINATOR				14b. DATE	
FOR GSA'S INTERAGENCY REPORTS USE					
15. DISPOSITION OF REQUEST BY GSA					
<input type="checkbox"/> a. APPROVED		<input type="checkbox"/> b. RECOMMENDED MODIFICATION (See attachment)		<input type="checkbox"/> c. DISAPPROVED (See attachment)	
				<input type="checkbox"/> d. NO CLEARANCE REQUIRED	
16a. SIGNATURE OF INTERAGENCY REPORT MANAGEMENT OFFICER				16b. DATE	

AUTHORIZED FOR LOCAL REPRODUCTION
Previous edition not usable.

STANDARD FORM 360 REV. 12-80
Prescribed by GSA - FIRM (41 CFR) 201-45.6

EXHIBIT 2

JUSTIFICATION STATEMENT

The justification statement shall contain the following elements:

- a. A statement as to why the report is needed, how many copies are required, who receives copies, whether the information is sensitive, and how it will be used;
- b. A statement describing the benefits (in dollar value if possible) expected from the information and an assessment of the probability that the benefits will be achieved;
- c. A statement describing how the affected program will be impacted if the information is not obtained;
- d. Identity of any responding agencies that took part in designing, testing, and estimating the cost of the proposed report;
- e. Identity of any agencies that agree or disagree with the proposed report, and a summary of their reasons for agreeing/disagreeing; and
- f. Description of any alternative reporting plan considered including: (1) frequency of reporting, (2) use of exception reporting, (3) use of sampling techniques, (4) selection of respondents, (5) obligation of respondents to comply, (6) amount of detail, (7) format of report, and (8) method of transmission.

EXHIBIT 3
OPTIONAL FORM 101

SUMMARY WORKSHEET FOR ESTIMATING REPORTING COSTS								
REPORT SYMBOL		REPORT TITLE		ESTIMATE PREPARED BY		DATE		
REPORTING CATEGORIES	REPORTING ACTIVITIES	COSTS (\$)						
		DIRECT PERSONNEL (a)	OVERHEAD % of column (a) (b)	DIRECT EQUIPMENT (c)	DIRECT MATERIAL (d)	OTHER DIRECT COSTS (e)	TOTAL (a+b+c+d+e) (f)	
DEVELOPMENTAL COSTS	1. Specification of Reporting Requirement							
	2. Analysis of Reporting Requirement							
	3. Design of Reporting System							
	4. Installation of Reporting System							
	5. DEVELOPMENTAL COSTS (Add totals in column f)							
OPERATIONAL COSTS	6. Data Collection							
	7. Data Processing							
	8. Data Transmission							
	9. OPERATIONAL COSTS FOR ONE REPORT (Add totals in column f)							
	10. ANNUAL OPERATIONAL COSTS (Cost for one report multiplied by frequency per year)							
USER COSTS	11. Refining, Interpreting, and Analyzing Information Received							
	12. Reading, Reviewing, Discussing, and Documenting Information Presented							
	13. USER COSTS FOR ONE REPORT (Add totals in column f)							
	14. ANNUAL USER COSTS (Cost for one report multiplied by frequency per year)							

NOTE: Estimates of reporting costs should be prepared in accordance with GUIDE TO ESTIMATING REPORTING COSTS which is issued by GSA/FARS/NR.

50101-101

OPTIONAL FORM 101
FEBRUARY 1970
GENERAL SERVICES ADMINISTRATION

EXHIBIT 4
NRC FORM 487

NRC FORM 487 (2-88) NRCM 0230 Part II		U.S. NUCLEAR REGULATORY COMMISSION	
REPORTS EVALUATION CHECKLIST			
REPORT TITLE			
SECTION 1 - DETERMINE THE NEED			
INSTRUCTIONS: Check either column (b) or (c). If questionable, show changes in column (d) (a)	QUESTION- ABLE (b)	SATISFAC- TORY (c)	PROPOSED CHANGES (Attach Additional Sheets, if Needed) (d)
1. THE REPORT AS A WHOLE. Who uses it? How? What is its purpose? Should it be continued?			
2. USE OF EACH ITEM. Is every item used? Any missing items to be added?			
3. USE OF EACH COPY. Are all copies used to good advantage?			
4. FUNCTIONAL RELATIONSHIP. Is the information within the scope of the office functions?			
5. MISAPPLICATION. Does the report try to solve a problem which should be solved by other means?			
6. STAND-BY DATA. Is the data obtained for "just-in-case" use?			
7. ANOTHER AVAILABLE SOURCE. Is the data available in another report or office?			
8. BY PRODUCT. Is it possible to get the data by some other process?			
9. DIRECT USE OF RECORDS. Could actual records or "last copy" of record be used instead of a report?			
10. SAMPLING. Would a sampling of a few offices give reliable data?			
11. EXCEPTION REPORTING. Would it be appropriate to report conditions only when other than normal?			
12. COMBINATION. Could this report be combined with another report?			
13. NON-RELATED MATERIAL. Are non-related subjects included in the same report?			
14. ADEQUACY AND SUITABILITY. Is scope or content tailored to meet needs?			
15. VALUE VS. COST. Is the report worth its cost?			
SECTION 2 - VERIFY THE TIMING			
16. REPORTING PERIODS Are reporting periods properly stated?			
17. FREQUENCY. Is the present frequency suitable, excessive, or inadequate?			
18. DUE DATE. Is the due date specifically stated?			
19. PREPARING OFFICE WORKLOAD. Has this been considered? Can due dates be changed to avoid peak workloads?			
20. REPORT TITLE. Is it the same as, or listed in the directive?			

NRC FORM 487 (2-88)

EXHIBIT 4 (CONTINUED)

NRC FORM 487

NRC FORM 487 (2-88) NRCM 0230 Part II		U.S. NUCLEAR REGULATORY COMMISSION	
REPORTS EVALUATION CHECKLIST (Page 2)			
REPORT TITLE			
SECTION 3 - REVIEW STYLE OF PRESENTATION			
INSTRUCTIONS: Check either column (b) or (c). If questionable, show changes in column (d). (a)	QUESTION- ABLE (b)	SATISFAC- TORY (c)	PROPOSED CHANGES (Attach Additional Sheets, if Needed) (d)
21. PURPOSE OF REPORT. Is it clearly stated?			
22. REPORTING INSTRUCTIONS. Are reporting instructions clear and adequate?			
23. INTEGRATED REPORTING. Are data needs of other levels included?			
24. FEEDER REPORTS. Are procedures for feeder reports provided to assure uniformity and simplicity?			
25. REPORTING UNITS. Are reporting units shown? Are there too many, too few?			
26. NEGATIVE REPORTS. Are negative reports required? What use is made of them?			
27. NUMBER OF COPIES. Are number of copies specified?			
28. ROUTING. Are correct mailing addresses given?			
29. NARRATIVE OR FORM. Is the best format for this report used?			
30. ARRANGEMENT AND SIZE. Are items sequenced according to user need? Is spacing adequate? Are item captions clear? Is size adequate and practical?			
31. STANDARDIZATION. Do all offices use the same forms or format?			
32. SUMMARY INFORMATION. Would a summary of information rather than statistics or a narrative be better?			
33. CUMULATIVE DATA. Can data be maintained on a cumulative basis to eliminate last-minute workloads?			
34. COMPARISONS. Are comparisons made against goals, past performance, or current performance of others?			
35. GRAPHICS. Are graphics used to good advantage?			
36. AUTHENTICATION. Are verifying or approving officials' signatures used only when necessary?			
37. DATA SOURCES. Are records from which reports are to be prepared identified?			
38. ARRANGEMENT OF RECORDS. Should records be rearranged to simplify reporting?			
39. REPORT SYMBOL. Is it shown after title of report?			
40. STYLE OF PRESENTATION. Does the overall report provide clarity and simplicity?			
INTERAGENCY REPORTS COORDINATOR (Typed Name and Signature)			DATE
DESIGNATED SENIOR OFFICIAL (Typed Name and Signature)			DATE

NRC FORM 487 (2-88)

PART III

RECURRING INTERNAL REPORTS

A. COVERAGE

Recurring reports are those reports that convey essentially the same type of information at regularly prescribed intervals, such as daily, weekly, monthly, or annually, etc., or which are prepared on each occurrence, reoccurrence, or non-occurrence of an event or situation of certain prescribed characteristics.

This Part applies to recurring, new, modified, renewed, or cancelled internal NRC reports that are required by a division or higher level organization to be submitted from one NRC Office to another NRC Office. Exempted from coverage by this Part are the following:

- a. Recurring reports the supplying of which does not exceed a total annual agency cost of \$5,000;
- b. Single reports used one time that are requested by one organization of a single respondent. Such reports generally do not impose a substantial workload or unduly disrupt normal operations;
- c. Individual transaction documents used in the day-to-day operations of an Office such as requisitions, shipping documents, personnel actions, and vouchers, also referred to as operating documents;
- d. Reports required within an NRC Office that do not require data from other NRC Offices (e.g., branch project status report prepared for the Division Director by one of the Director's branches);
- e. Comments on proposed directives or publications, responses to audits and investigations, and testimonies and hearings;
- f. Reports of audits, program reviews, or investigations of charges, complaints, claims, or violations of law or regulation;
- g. Reports of findings (e.g., NUREG and safety evaluation reports, environmental assessments, or statements), recommendations, or actions prepared by an official committee, board, survey team, study group, or task force;
- h. Emergency reports made during test exercises or in actual major disaster or emergency response situations; and
- i. Information voluntarily given in the absence of a stated or implied reporting requirement such as in conversations, letters, meetings, briefings, seminars, classes, nominations, and duplicated information from approved reports.

B. PROCEDURES FOR REQUESTING APPROVAL

1. Each Office or Region proposing to impose an internal reporting requirement shall submit to its respective Information Management Coordinator (IMC) a completed Internal Reporting Request (INRR). The IMC shall review for completeness and accuracy of data and shall forward the INRR, once concurred in by the cognizant branch chief or designee, to the Director, Division of Information Support Services (DISS). The submittal shall be forwarded at least 4 weeks prior to initiation of new reporting requirements and 2 weeks for modifications or renewals.
2. DISS will:
 - a. Review the proposed report and provide recommendations to the originating Office through its IMC using the Internal Reports Evaluation Form (Exhibit 2).
 - b. Develop/recommend, as appropriate, forms, report formats, data collection methods, as appropriate, which could reduce staff preparation and submittal time.
 - c. Forward the assessment package to the DSO with recommendation for approval/disapproval.
 - d. When the report is approved, assign an NRC internal report control number and an expiration date which will not exceed 3 years.
 - e. Maintain an NRC Inventory of Internal Reports.
 - f. Maintain an official case file for each approved report.
 - g. Review the NRC Inventory of Internal Reports for need, adequacy, design, and economy of use, and annually recommend to Offices or Regions the reports that might be modified or eliminated.

C. CONTENT AND FORMAT FOR AN INTERNAL REPORTING REQUEST (INRR)

A complete INRR contains the following:

- A completed NRC Form 394, "Internal Reports Clearance" (Exhibit 1).
- A copy of the proposed form or other document that will be used to supply the requested information.
- The proposed or final agency directive or instruction that prescribes the use of the report.
- Identification of respondents, offices, divisions, etc., required or requested to supply the report.

- A copy or description of the report that will be compiled from the requested data, the purpose of the report, the identification of those to whom the final report will be distributed, and the use they make of the report.
- In cases where personal information is requested about individuals, a letter from the Director, Division of Freedom of Information and Publications Services, stating that a Privacy Act Statement has been approved, and a copy of the approval notice.

D. PROCEDURES FOR APPEALING DISAPPROVALS OF REPORTING REQUESTS

1. The originating Office will forward its appeal request to the EDO with copies of the request going to the DSO and DISS.
2. The appeal request should contain:
 - (a) a copy of the DSO's justification for disapproval,
 - (b) the complete INRR as submitted to the DSO, and
 - (c) refutation of DSO disapproval with appropriate documentation to assist the EDO in making a final decision.
3. The EDO will review the appeal request and will notify the originating Office, the DSO, and DISS of the final decision. If the appeal is approved, DISS will assign an NRC internal control number and notify the originating Office's IMC of the same.

EXHIBIT 1

NRC FORM 394

NRC FORM 394 (2-88) NRCM 0230 Part III		U.S. NUCLEAR REGULATORY COMMISSION		REPORTS CONTROL SYMBOL (If any)	
INTERNAL REPORTS CLEARANCE				FORM NUMBER	
FORWARD ORIGINAL AND 1 COPY TO: Reports Management Officer		ATTACH: 1. Proposed report form or other communication intended for use in supplying the requested information 2. Directive/Instruction that prescribes use of report		DATE OF THIS REQUEST	
TITLE OF REPORT				TYPE OF ACTION REQUESTED	
				<input type="checkbox"/> NEW <input type="checkbox"/> REVISED <input type="checkbox"/> CANCELLATION	
PURPOSE OF REPORT (Explain in detail the use to be made of data collected from report)				TYPE OF REPORT (Check appropriate box)	
				<input type="checkbox"/> PROGRAM EVALUATION <input type="checkbox"/> PRELIMINARY PLANNING <input type="checkbox"/> STATISTICAL <input type="checkbox"/> MANAGEMENT <input type="checkbox"/> OTHER	
NATURE OF REVISION/REASON FOR CANCELLATION (Revisions and cancellations)				FREQUENCY OF RESPONSE	
				DUE DATE OF REPORT	
				RESPONDENT GROUP	
				NUMBER OF RESPONDENTS	
REPORTS SUPERSEDED BY THIS REPORT (Title and reports control symbol, if any)				PRESCRIBING DIRECTIVE	
ESTIMATED ANNUAL AGENCY COST TO PREPARE REPORT					
STAFF HOURS PER RESPONSE	TOTAL ANNUAL RESPONSES		STAFF HOURS FOR PROCESS AND ANALYSIS		TOTAL ANNUAL STAFF HOURS
	X		+		=
ANNUAL DOLLAR COST FOR STAFF	ANNUAL PRINTING COST (Published Reports)		ANNUAL MACHINE COST (Unpublished Reports)		TOTAL ANNUAL DOLLAR COST
\$	\$		\$		\$
DISTRIBUTION					
NO. OF COPIES PRINTED	ORIGINAL TO:		COPIES TO:		
ORIGINATING OFFICE			PERSON TO CONTACT		
REQUIRING OFFICIAL—SIGNATURE			PHONE NUMBER		
TITLE			MAIL STOP		
REPORTS MANAGEMENT COORDINATOR—COMMENTS			SIGNATURE		
			DATE		
REPORTS MANAGEMENT OFFICER—RECOMMENDATIONS/REMARKS			SIGNATURE		
			DATE		

NRC FORM 394 (2-88)

EXHIBIT 2

NRC FORM 491

NRC FORM 491 (1-88) NRCM 0230, Part III		U.S. NUCLEAR REGULATORY COMMISSION		
INTERNAL REPORTS EVALUATION				
TO		TITLE OF INTERNAL REPORT		
THE FOLLOWING FACTORS WERE CONSIDERED IN EVALUATING THE PROPOSED INTERNAL REPORT REQUEST (If the response is not so, "No" will be checked and an explanation given under "Remarks.")			YES	NO
1. The report is needed (The information requested is not currently available.)				
2. The requirement has practical utility and will be used in a timely manner.				
3. The schedule for submission of the report is reasonable.				
4. The report is the least costly method of gathering the necessary data.				
5. The requirement does not duplicate or overlap other information requests.				
6. The method used to estimate the cost is adequate.				
7. The cost estimates are reasonable when compared with similar requirements.				
8. The reporting instructions are clear and concise.				
9. The requirement adequately identifies the information to be reported.				
10. The required format has been reviewed and is adequate to collect required data.				
REMARKS (If an explanation to items 1 through 10 above, reference remark to item number.)				
REVIEWER (Typed name and signature)			DATE	
REVIEWING OFFICIAL (Typed name and signature)			DATE	

NRC FORM 491 (1-88)