

U.S. NUCLEAR REGULATORY COMMISSION MANAGEMENT DIRECTIVE (MD)

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| MD 3.55 | FORMS MANAGEMENT PROGRAM | DT-16-27 |
| <i>Volume 3, Part 2:</i> | Information Management, Records Management | |
| <i>Approved By:</i> | Frederick D. Brown, Acting Chief Information Officer | |
| <i>Date Approved:</i> | August 6, 2016 | |
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| <i>Issuing Office:</i> | Office of the Chief Information Officer Operations Division | |
| <i>Contact Name:</i> | Deborah Hersey 630-829-9565 | |

EXECUTIVE SUMMARY

Management Directive 3.55, "Forms Management Program," is revised to update guidance and make administrative changes. This revision reflects recent senior management changes in the Office of the Executive Director for Operations (OEDO), retitling the Office of Information Services (OIS) to the Office of the Chief Information Officer (OCIO) and the Computer Security Office (CSO) to the Information Security Directorate (ISD), aligns the roles and responsibilities to the current organization, incorporates the responsibilities of the Agency Records Officer (ARO), and updates hyperlinks and guidance to reflect an electronic request process.

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For updates or revisions to policies contained in this MD that were issued after the MD was signed, please see the Yellow Announcement to Management Directive index ([YA-to-MD index](#)).

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I. POLICY

It is the policy of the U.S. Nuclear Regulatory Commission (NRC) to prepare, control, and process all official forms in accordance with the Paperwork Reduction Act of 1995, the Privacy Act of 1974, as amended (5 U.S.C. 552a), the regulations of the General Services Administration (GSA) on the procurement and use of U.S. Government Standard and Optional Forms as defined in Title 41 of the *Code of Federal Regulations* (CFR) Part 102-194, "Standard and Optional Forms Management Program," and in accordance with this management directive.

II. OBJECTIVES

- Ensure that all new NRC forms are developed with the option for use in electronic format.
- Ensure that the production, use, and distribution of forms are efficient and economical.
- Ensure that the creation and use of forms by the NRC are consistent with Federal standards and agency needs.
- Ensure agencywide forms are managed through the NRC Forms Management Officer.

III. ORGANIZATIONAL RESPONSIBILITIES AND DELEGATIONS OF AUTHORITY

A. General Counsel (GC)

Reviews all NRC forms for a Privacy Act Statement (PAS) to ensure they are legally sufficient and in accordance with the Privacy Act.

B. Chief Information Officer (CIO)

1. Oversees the agency's forms management program, as defined in Title 41 of the *Code of Federal Regulations* (CFR) Part 102-194, "Standard and Optional Forms Management Program," and in accordance with this management directive.

2. Establishes agency policies and procedures for managing agency forms, including those that require Office of Management and Budget (OMB) review and Privacy Act assessment.
3. Appoints an NRC Forms Management Officer to coordinate forms activities for the agency.

C. Regional Administrators (RAs)

1. Appoints a point of contact (POC) to coordinate regional forms activities with the Information and Data Operations Branch (IDOB), Operations Division (OD), Office of the Chief Information Officer (OCIO), and provide the name and title of this person, and any replacement, to IDOB.
2. Approves region-specific forms for staff use in coordination with the NRC Forms Management Officer.

D. Director, Division of Administrative Services (DAS), Office of Administration (ADM)

1. Obtains all U.S. Government standard and optional forms that are required for NRC headquarters use.
2. Maintains the inventory of NRC and U.S. Government standard and optional forms at the NRC supply room, as needed.
3. Prints forms as requested by the NRC Forms Management Officer, OCIO.

E. NRC Forms Management Officer, Information and Data Operations Branch (IDOB), Operations Division (OD), Office of the Chief Information Officer (OCIO)

1. Receives and reviews all requests for new, revised, and reprinted agency forms and determines if the requests are warranted.
2. Designs and controls new, revised, and reprinted agency forms to ensure the design is user friendly and meets NRC standards.
3. Automates NRC standard, optional, and other U.S. Government agency forms and ensures the forms are current and available to staff in the NRC Forms Library.
4. Coordinates new and revised NRC forms with the NRC Clearance Officer to determine the need for OMB review and clearance.
5. Coordinates new and revised NRC forms with the NRC Freedom of Information Act (FOIA) and Privacy Act Officer for review to ensure that a current PAS is included on those forms where information is collected from individuals and will be maintained in the system records pursuant to the Privacy Act.

6. Coordinates new and revised regional forms with regional POCs.
7. Coordinates new and revised forms with the Agency Records Officer (ARO) to ensure that information being collected has a retention schedule that has been approved by the National Archives and Records Administration, as applicable.

**F. Agency Records Officer (ARO), IT/IM Policy Branch (IPB),
IT/IM Portfolio Management and Planning Division (PMPD),
Office of the Chief Information Officer (OCIO)**

Responsible for overseeing the agency's day-to-day recordkeeping requirements.

IV. APPLICABILITY

The policy and guidance in this management directive apply to all NRC employees and contractors.

V. DIRECTIVE HANDBOOK

Handbook 3.55 contains standards, guides, and procedures for implementing the NRC forms management program. Handbook 3.55 does not contain standards, guides, or procedures for informal working-level forms (e.g., branch or division forms).

VI. DEFINITIONS

Optional Form (OF)

A form developed and recommended for use by two or more Federal agencies. The optional form (OF) normally is generated because of a common functional need or convenience and is approved by GSA for nonmandatory use (see 41 CFR 101-26.302 and 41 CFR 102-194.15). NRC or local forms will not be developed for use if an OF is available and can be used to satisfy the NRC requirement.

Public Use Forms

Reports, applications, questionnaires, interview guides, and other forms used to collect information from the public for use in regulatory programs. Such forms are subject to OMB clearance under 44 U.S.C. 3501 if they affect 10 or more persons.

Standard Form

A form prescribed by a Federal agency, pursuant to its authority, and approved by the General Services Administration for mandatory use by all U.S. Government agencies (see 41 CFR 101-26.302 and 41 CFR 102-194.10). This mandatory use is generally set forth in the regulations of the prescribing agency.

VII. REFERENCES

Code of Federal Regulations

36 CFR Part 1220, "Federal Records; General."

41 CFR 101-26.302, "Standard and Optional Forms."

41 CFR Part 102-194, "Standard and Optional Forms Management Program."

41 CFR 102-194.10, "What is a Standard Form?"

41 CFR 102-194.15, "What is an Optional Form?"

General Services Administration (GSA) Web Site, GSA Forms Library:

<http://gsa.gov/portal/forms/type/TOP>.

Nuclear Regulatory Commission Documents

Management Directives—

3.53, "NRC Records and Document Management Program."

3.54, "NRC Collections of Information and Reports Management."

NRC Forms Library:

<http://fusion.nrc.gov/nrcformsportal/default.aspx>.

Printing Procurement Services Web Site:

http://www.internal.nrc.gov/ADM/manuscriptdev_print/printing.html.

Office of Management and Budget Memorandum M-12-18, "Managing Government Records Directive," August 24, 2012, available at

<https://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf>.

United States Code

Federal Records Act of 1950, as amended, (44 U.S.C. Chapters 29, 31, and 33).

Paperwork Reduction Act of 1995 (44 U.S.C. 3501 et seq.).

Privacy Act of 1974, as amended (5 U.S.C. 552a).

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I. FORMS MANAGEMENT SERVICES

A. Development

Organizational units at NRC headquarters or regional points of contact (POCs) initiating a new form or revising an existing form should determine that—

1. The information requested is essential and not available from another source.
2. The resources for collecting the information are reasonable and worth the benefits to be derived.
3. Each data element on the form is necessary for agency business, especially requests for—
 - (a) Federal Privacy Act of 1974, as amended (5 U.S.C. 552a) information;
 - (b) Personally identifiable information (PII);
 - (c) Sensitive Unclassified Non-Safeguards Information (SUNSI).
4. Estimates have been made for the number of users, frequency of use, and annual use rate.
5. The proposed distribution of the completed form is essential, and distribution is kept to a minimum.
6. The NRC Forms Management Officer will send a copy of [NRC Form 162](#), “Request for Review of Form for Privacy Act Statement,” available in the [NRC Forms Library](#), and a copy of the revised form to the Agency Records Officer (ARO). The ARO will determine whether there is an appropriate records retention schedule for the information collected.
7. The ARO is responsible for overseeing the agency’s day-to-day recordkeeping requirements in accordance with Office of Management and Budget (OMB) Memorandum M-12-18, “Managing Government Records Directive,” dated August 24, 2012.

B. Requesting a New Form, Revising a Current Form, and Reprinting a Form

1. Any new or revised NRC form will be automated, and the electronic form will be available at the NRC Forms Library for agencywide use and at the NRC public Web site for public usage. The originator may request and justify an exception to this process when requesting a new form or revising a current form.
2. The originator will request a new form or request revision of a current form by completing all applicable data elements on [NRC Form 160](#), "Request for Forms Management Services."
 - (a) The NRC Form 160 must be approved by a branch chief or above. The justification must include the prescribing regulation, management directive, or other instruction. The originator will submit the request by e-mail to the Information Data Operations Branch (IDOB), Operations Division, Office of the Chief Information Officer (OCIO) (Forms.Resource@nrc.gov). Include a scan of the completed and signed NRC Form 160, a copy of the rough draft of the proposed new form, and/or a mockup of the revised form. Please allow sufficient time for processing (see Section III.A of this handbook for lead time).
 - (b) The NRC Forms Management Officer will send NRC Form 162, "Request for Review of Form for Privacy Act Statement," and a copy of the proposed new NRC form to the Freedom of Information Act, Privacy, and Information Collections Branch (FPIB), Customer Service Division, OCIO, for review to determine the need for a Privacy Act Statement (PAS), pursuant to the Privacy Act of 1974, as amended. If the proposed new form solicits information from individuals about themselves, and that information will be maintained in a Privacy Act system of records, the Privacy Act Officer (PAO), in coordination with the originator, will draft a PAS, obtain approval from the Office of the General Counsel, and return the form with the approved PAS to the NRC Forms Management Officer. He or she will include the approved PAS as part of the form. If the form requests PII, the FOIA Officer and PAO will verify with the originating office or region that the PII is necessary for agency business.
 - (c) The NRC Forms Management Officer will send [NRC Form 164](#), "Request for Review of Form for Records Retention Schedule," and a copy of the proposed new NRC form to the IT/IM Policy Branch (IPB), IT/IM Portfolio Management and Planning Division, OCIO, for review to determine if the information being collected has a retention schedule approved by the U.S. National Archives and Records Administration (NARA). If the information currently does not have a schedule, IPB will work with the form requester to create a new proposed records retention schedule for the information.

3. To reprint an NRC form, organizational units at headquarters or Forms Liaison Officers in the regions will submit the request by e-mail to Reproduction.Resource@nrc.gov. Include a scan of the signed, completed [NRC Form 20](#), "Request for Printing and Copying Services," and a copy of the requested form.

C. Form Approval

The NRC Forms Management Officer will review and approve each request for forms management services related to a new or an existing form before designing a new form or printing an existing form. The NRC Forms Management Officer will—

1. Determine whether or not proposed data are available from another source.
2. Determine if the form will be available in electronic format, printed format, or both.
3. Ensure that continued use of the form is warranted.
4. Determine the need for coordination with other NRC offices or other Federal agencies.
5. Determine that the form complies with Privacy Act requirements, including verification that requests for PII and SUNSI are necessary for agency business.
6. Determine that the data collected by the form has a NARA-approved retention schedule.

D. Request for Exception to U.S. Government Standard Form Use

Organizational units at headquarters or Forms Liaison Officers in the regions may request an exception to the required use of U.S. Government Standard Forms. Submit a written request and justification to IDOB (Forms.Resource@nrc.gov) in sufficient time to allow the General Services Administration (GSA) 60 days for processing.

E. Design and Construction Standards

IDOB, to the extent practicable, will incorporate standard design practices when designing and formatting new or revised forms.

F. Discontinuance of an Existing Form

One record copy of each form and related instructions and documentation showing the inception, scope, and purpose of the form should be destroyed 5 years after the form is superseded, discontinued, or canceled. Background materials, requisitions, specifications, processing data, and control records should be destroyed when the related form is discontinued, superseded, or canceled. To discontinue a form, staff must follow the schedule set forth in the General Records Schedule (GRS), Schedule 16, Item 3, Sub-items A and B. Organizational units at headquarters or Forms Liaison Officers in the regions promptly will notify IDOB, in writing, when a form becomes obsolete. Submit notification by memorandum or e-mail (Forms.Resource@nrc.gov).

II. REQUESTING REVIEW AND CLEARANCE FROM OTHER FEDERAL AGENCIES

A. Public Use Forms

1. Under the provisions of the Paperwork Reduction Act of 1995, an agency may not collect information that solicits answers to identical questions posed to, or identical reporting or recordkeeping requirements imposed on, 10 or more persons, other than agencies, instrumentalities, or employees of the United States, without first obtaining approval from OMB.
2. Organizational units at headquarters and Forms Liaison Officers in the regions proposing a public use form must submit a request, completed in accordance with Management Directive 3.54, "NRC Collections of Information and Reports Management," to FPIB in sufficient time to ensure the established milestone schedules are met (see Section III.A of this handbook). The NRC Forms Manager will send all NRC Forms to the FOIA, Privacy and Information Collections Branch to be reviewed per NRC Management Directive 3.54. All documents and electronic forms or systems that request or impose information collections must contain a Paperwork Reduction Act Statement. This does not apply to information collections addressed to nine or fewer persons within a 12-month period. However, OMB presumes 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 involves 10 or more persons.

B. U.S. Government Standard and Optional Forms

1. The Federal Management Regulation (FMR) (Title 41 of the Code of Federal Regulations Parts 101-26.302 and 102-194) set forth procedures for—
 - (a) Prescribing standard forms for mandatory use by all Federal agencies,
 - (b) Adopting an optional form for use by more than one Federal agency,
 - (c) Making revisions to standard or optional forms, and
 - (d) Requesting exception to use an agency form rather than a Standard Form.
2. Organizational units at headquarters and Forms Liaison Officers in the regions proposing any of these actions must submit a written request and justification by e-mail to Forms.Resource@nrc.gov in sufficient time to allow GSA 60 days for processing.

C. Other Federal Agency Forms

NRC uses a limited number of other Federal agency forms. Direct any questions regarding the use of other agency forms to IDOB thru the forms e-mail address at Forms.Resource@nrc.gov.

III. FORMS PROCESSING AND PRINTING, PROCUREMENT, AND SUPPLY AND STOCKING

A. Processing and Printing

The processing time for review, analysis, design, approval of design, required clearances, and printing (if not an electronic format) depends on the complexity of the individual form. Offices should consider the following lead times for forms processing:

1. The forms revision process requires a lead time of 6 to 8 weeks to create a form depending on the complexity of the form. In addition, if complex, the form may be contracted out for creation.
2. Most NRC forms are printed by the Publications Branch (PB), Division of Administrative Services (DAS), Office of Administration (ADM). Requests for printing require 1 to 2 weeks for completion, depending on the workload in both OCIO and ADM (see Section I.B.3 of this handbook).
3. Forms printed by the Government Publishing Office (GPO) require 4 to 6 weeks, because of their complexity of the form or large quantity. The NRC Forms Management Officer will send an NRC Form 20, "Request for Printing and Copying Services," to the NRC GPO printing specialists in ADM (Reproduction.Resource@nrc.gov). See the [ADM Web site for printing services](#) for the contact information.
4. Specialty forms (carbon interleaved sets, chemical transfer sets, marginally punched continuous forms, etc.) require 6 to 8 weeks because the request must be contracted to commercial printers for reproduction.
5. Allow an additional 60 days or more for processing when outside clearances are necessary (e.g., from GSA or OMB).

B. Procurement of U.S. Government Standard and Optional Forms

NRC headquarters organizations must submit requests for standard and optional forms electronically at [GSA](#). Submit requests through the GSA Web site at <http://gsa.gov/portal/forms/type/TOP>.

C. Supply and Stocking

1. Paper stock of electronically available NRC forms will be maintained only in justified, rare instances. Electronic NRC forms are accessible on the [NRC Forms Library](#).
2. NRC forms, U.S. Government Standard and Optional Forms, and other Federal agency forms are listed numerically and alphabetically in the NRC Forms Library and available at [GSA](#).

3. With regard to paper-based forms at the NRC (those forms not available electronically), it is standard practice for ADM to physically stock and inventory all printed NRC forms (except as identified under Section III.C.6 below). ADM will provide IDOB a quarterly inventory report of forms stock. IDOB will determine what is needed.
4. IDOB determines the annual stock levels for printed forms located in the supply store. The NRC Forms Manager will complete and submit a request for printing and copying services to the Reproduction.Resource@nrc.gov; a hard copy of the form will be included. Generally, printed forms are ordered in sufficient quantities to satisfy NRC requirements for 1 year. However, quantities can be procured to last beyond 1 year when proven to be more economical or when the form is not likely to be modified.
5. In specialized situations, it is more economical and practical for the NRC headquarters program office or regional office to maintain the paper stock. This includes situations where the program office or regional office is the sole user of a form, and the annual usage and storage requirements do not impose space problems.
6. The offices maintaining forms stock should replenish stock in sufficient time to ensure that stock is never depleted. The office must request revision to forms for which it should maintain stock, in accordance with Section I.B of this handbook.