PDR

Standard Form 83
(Rev. September 1983)

Request for OMB Review

DESIGNATED ORIGINAL
Certified By Paulette Smith

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
Lee Cadorette

Telephone number
(301) 492-1634

4. Title of information collection or rulemaking
NRC Form 443, Confidential Statement of Employment and Financial Interests

5. Legal authority for information collection or rule *(cite United States Code, Public Law, or Executive Order)*
_____ USC _____, or E.O. 11222

6. Affected public *(check all that apply)*
1 [X] 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 interim final, with prior proposal
3 [ ] Final or interim 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)*

Previous editions obsolete
NSN 7540-00-634-4034

83-108

Standard Form 83 (Rev. 9-83)
Prescribed by OMB
5 CFR 1320 and E.O. 12291

DF02
1/1

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 "Financial Disclosure Reporting"
Information is required to determine possible employment conflict of interest and determination of professional qualifications for NRC consultants, advisers, and experts.

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)*
4 ☐ Notice of proposed rulemaking (NPRM)
5 ☐ Final, NPRM was previously published
6 Final or interim final without prior NPRM
A ☐ Regular submission
B ☐ Emergency submission *(certification attached)*
7. Enter date of expected or actual Federal Register publication at this stage of rulemaking *(month, day, year)*: ______

15. Type of review requested *(check only one)*

1 ☐ New collection
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
4 ☐ Reinstatement of a previously approved collection for which approval has expired
5 ☐ Existing collection in use without an OMB control number

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

NRC 443

17. Annual reporting or disclosure burden

1 Number of respondents	180
2 Number of responses per respondent	1
3 Total annual responses *(line 1 times line 2)*	180
4 Hours per response	2
5 Total hours *(line 3 times line 4)*	360

18. Annual recordkeeping burden

1 Number of recordkeepers	
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)*	360
2 In current OMB inventory	360
3 Difference *(line 1 less line 2)*	0
Explanation of difference	
4 Program change	
5 Adjustment	

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

3150-0025

21. Requested expiration date

10/31/92

22. Purpose of information collection *(check as many as apply)*

1 ☒ Application for benefits
2 ☐ Program evaluation
3 ☐ General purpose statistics
4 ☒ Regulatory or compliance
5 ☐ Program planning or management
6 ☐ Research
7 ☐ Audit

23. Frequency of recordkeeping or reporting *(check all that apply)*

1 ☐ Recordkeeping

Reporting

2 ☒ On occasion
3 ☐ Weekly
4 ☐ Monthly
5 ☐ Quarterly
6 ☐ Semi-annually
7 ☐ Annually
8 ☐ Biennially
9 ☐ Other *(describe)*: ______

24. Respondents' obligation to comply *(check the strongest obligation that applies)*

1 ☒ Voluntary
2 ☐ Required to obtain or retain a benefit
3 ☐ Mandatory

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

10 CFR 0.735-28(a) ; or ______ FR ______ ; or, Other *(specify)*: ______

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 Joyce A. Amenta, Designated Senior Official for Information Resources Management Joyce Amenta	Date 12/27/89

☆ GPO : 1984 O - 453-776

OMB SUPPORTING STATEMENT FOR NRC FORM 443
CONFIDENTIAL STATEMENT OF EMPLOYMENT
AND FINANCIAL INTERESTS
10 CFR PART 0.735-28

Description of the Information Collection

NRC Form 443 requires approximately 180 individuals a year to submit a resume of their employment and professional achievements, and a confidential record of their financial interests. Individuals submit this form prior to commencement of NRC employment and every May thereafter for renewal of their appointment.

A. JUSTIFICATION

1. Need for the Collection of Information. Paragraph 0.735-28(a) of 10 CFR Part 0 provides that certain NRC consultants, advisers, and experts (defined as "Special Government Employees," 10 CFR 0.735-4(e)) shall submit statements of employment and financial interests prepared in accordance with 10 CFR 0.735-28(c). The information is furnished on NRC Form 443. These individuals are required to complete NRC Form 443 because submission of these financial statements is mandated by Executive Order 11222 (May 8, 1965).

2. Agency Use of Information. NRC Form 443 provides the staff with (a) a resume of the individual's employment and professional achievements, and (b) a confidential record of financial interests for use in judging possible conflicts of interests. This information is necessary if potential conflicts of interest are to be assessed. It also provides hiring officials with a basis for determining the qualifications of the consultant, adviser, or expert, and for setting the appropriate rate of compensation.

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. To our knowledge, no automated systems exist that deal with this sort of information.

4. Effort to Identify Duplication. NRC Form 443 does not duplicate or overlap other information collected by the NRC or other government agencies.

5. Effort to Use Similar Information. There is no similar information compiled.

6. Effort to Reduce Small Business Burden. This form requires a small expenditure of time and effort. It is not possible to reduce the burden on small businesses by less frequent or less complete reporting requirements.

7. Consequences of Less Frequent Collection. If the requested information is collected less frequently, potential conflicts of interest might go undetected.

8. Circumstances Which Justify Variation From OMB Guidelines. Not applicable.

9. Consultations Outside the NRC. None. This form has been in use for many years.

10. Confidentiality of Information. Confidentiality is required by E.O. 11222. This information is used for internal purposes only. However, information may be transmitted to the Department of Justice if it could provide a basis for criminal prosecution.

11. Justification for Sensitive Questions. There are no alternatives for collecting this information. Financial and employment information is the only means of determining conflicts of interests. Confidentiality pledges are expressed on the form itself in the title and at the end.

12. Estimated Annualized Cost to the Federal Government. The collection of information will require an average of two hours of NRC staff time per report. For 180 respondents, the collection will require 360 hours per year (2 hr./report x 180 reports/year). Annual labor cost at $95 per staff hour will be $34,200. The estimate of labor cost is based on discussions with personnel in the Office of the General Counsel who process these forms.

13. Estimate of Burden.

    a. The estimated annual burden for this information collection is approximately 2 hours per year. Total industry burden is 360 hours (2 hrs x 180 responses = 360).

    b. Estimated annual cost per respondent is $190 ($95/hr x 2 hrs.). Total annual industry cost is $34,200.

14. Reasons for Change in Burden. Burden remains the same.

15. Publication for Statistical Use. None.

16. Collection of Information Employing Statistical Methods. Statistical methods are not used in the collection of information.

NRC FORM 443
(1-90)
10 CFR 0.735-28

UNITED STATES NUCLEAR REGULATORY COMMISSION

APPROVED BY OMB: NO. 3150-0025
EXPIRES:

ESTIMATED BURDEN PER RESPONSE TO COMPLY WITH THIS INFORMATION COLLECTION REQUEST: 2.0 HRS. FORWARD COMMENTS REGARDING BURDEN ESTIMATE TO THE INFORMATION AND RECORDS MANAGEMENT BR. (MNBB 7714) U.S. NUCLEAR REGULATORY COMMISSION, WASHINGTON, DC 20555, AND TO THE PAPERWORK REDUCTION PROJECT (3150-0025), OFFICE OF MANAGEMENT AND BUDGET, WASHINGTON, DC 20503

CONFIDENTIAL STATEMENT OF EMPLOYMENT AND FINANCIAL INTERESTS

(Consultants below pay rate of GG-16 or who work less than 60 days a year)

PART A

1. NAME (First, middle initial, last)	2. BIRTH DATE

3. HOME ADDRESS (Street, City, State, ZIP Code)	4. TELEPHONE: Home: Business:

5. Are you a U.S. Citizen? YES NO	6. COLLEGE OR UNIVERSITY	7. DATES ATTENDED	8. DEGREE	9. YEAR

10. a. If you are a U.S. Civil Service annuitant, what is your monthly annuity?

b. Are you a retired officer of a regular component of the Uniformed Services?

YES NO If yes, contact your Service for information concerning any reduction in retired military pay made necessary by receipt of Federal civilian pay.

11. Employment during last 10 years (including consultantships). List present position first – you need include only the ones related to your regular profession. *List current Federal positions in item 12, below.*

EMPLOYER AND ADDRESS	POSITION HELD	SALARY OR FEE	DATES

12. OTHER FEDERAL GOVERNMENT EMPLOYMENT. List all other Federal departments and agencies (including other NRC offices) in which you are serving or expect to serve as consultant, adviser, expert, or part-time, or intermittent employee during the next 365 days. If none, write "None."

AGENCY AND LOCATION	TITLE OR KIND OF POSITION	APPOINTMENT PERIOD FROM	TO	ESTIMATED NO. OF DAYS

13. List your significant professional society memberships, honors, and fellowships received; important publications, licenses, and other special qualifications:

PART B – CONFIDENTIAL STATEMENT OF EMPLOYMENT AND FINANCIAL INTERESTS

14.a. NAME (First, middle initial, last)	14.b. BUSINESS ADDRESS (City, State)

15. CURRENT NON-FEDERAL EMPLOYMENT. List all corporations, companies, firms, or other business enterprises, partnerships, non-profit organizations, and educational, or other institutions, including State or local governmental organizations: (a) with which you, your spouse, or minor children are connected as an employee, officer, owner, director, member, trustee, partner, adviser, or consultant, with or without compensation; or (b) in which you, your spouse, or minor children have any continuing financial interests, through a pension or retirement plan, shared income, or other arrangement as a result of any current or prior employment or business or professional association. Repeat information on present employment recorded in item 11 on page 1. If none, write "None."

NAME AND KIND OF ORGANIZATION (e.g., manufacturing, research, insurance)	LOCATION	TITLE OR KIND OF POSITION

16. FINANCIAL INTERESTS. List your investments and, to your knowledge, those of your spouse, minor children, and blood relations who are full-time residents of your household. If none, write "None." You need not list holdings in Federal bonds or those financial interests which are, as of the date of this statement is submitted, exempted under Part II (§ 0.735-21(c) of NRC Appendix 4124, "Conduct of Employees." (See Instructions, item 16.) You need not reveal at this time the precise amount of investments listed, however, you may later be required to do so if necessary for an agency determination under NRC Appendix 4124 (10 CFR 0.735).

a. NAME OF ORGANIZATION	KIND OF ORGANIZATION	NATURE OF INTEREST AND IN WHOSE NAME HELD

b. INFORMATION ON FINANCIAL INTERESTS REQUESTED OF OTHER PERSONS. If any information is to be supplied by other persons, e.g., trustee, attorney, accountant, or relative, please complete the boxes below. If none, write "None."

NAME AND ADDRESS	NATURE OF SUBJECT MATTER	DATE OF REQUEST

17. I certify that the above statements made by me are true, complete and correct to the best of my knowledge and belief. I believe that at this time there does not exist any conflict, as described in 10 CFR Part 0, "Conduct of Employees," between my private interests (including stock-holdings) and my proposed services for the NRC. I further expect and intend to avoid such conflicts during any periods of appointment by the NRC. I understand that, during the period of my appointment, I must notify the NRC, in accordance with the instructions on Page 4 of this form, of any change in the information under Items 15 and 16, above.

SIGNATURE

DATE

FOR USE BY NRC

18. DETERMINATION BY APPROPRIATE SUPERVISORY OFFICIAL:

I have reviewed the statement of the subject individual in relation to his/her proposed duties and responsibilities and find:

☐ **no conflict or apparent conflict of interest.**

☐ **the following question(s) which require resolution:**

The following steps have been taken to resolve the question(s) referred to above:

Under applicable law and NRC regulations, the individual is not to participate in any particular matter the outcome of which will have a direct and predictable effect upon the financial interests of a business entity, including nonprofit organization or an educational institution, by which he/she is employed or with which he/she is negotiating for or has any arrangement concerning prospective employment, or to which he/she renders consultant services, or in which he/she has a financial interest not exempted under Part II (§0.735-21(c)), of NRC Appendix 4124. However, he/she need not be precluded from rendering general advice in situations where no preference or advantage over others might be gained by any particular person or organization.

SIGNATURE　　　　DATE

19. DETERMINATION BY COUNSELOR (OR DEPUTY COUNSELOR):

I have reviewed the statement of the subject individual and the operating official's determination above and find:

☐ no evidence of conflict or apparent conflict of interest.

☐ the following question(s) which required resolution:

The following steps have been taken to resolve the question(s) referred to above:

SIGNATURE　　　　DATE

The information to be furnished in items 15-16 of this statement is required by Executive Order 11222 and the regulations of the Office of Personnel Management and the Nuclear Regulatory Commission issued thereunder, and may not be disclosed by the NRC except in accordance with the provisions of NRC Manual Chapter 4124 or as the Office of Personnel Management or the Nuclear Regulatory Commission may determine for good cause shown.

INSTRUCTIONS

GENERAL: Prepare this statement in duplicate. Submit one completed copy to the head of the NRC division or office by which you will be employed. Retain one copy for your files. If additional pages are used, identify them by reference to the appropriate numbered item and attach them hereto. If additional pages are required, information relating to items 15 and 16 must be listed on a separate page.

ITEMS:

12. Include the names of any other Federal departments or agencies, including other NRC offices, with which you are affiliated or expect to be during the next 365 days as consultant, adviser, expert, part-time, or intermittent employee. In determining the estimated number of days service, a part of a day should be counted as a full day and a Saturday, Sunday or holiday on which duty has been or is expected to be performed, should be counted as a work day.

15. & 16. You need not submit any information relating to your connection with, or interest in, a professional society or a charitable, religious, social, fraternal, recreation, public service, civic, or political organization or any similar organization not conducted as a business enterprise, and which is not engaged in the ownership or conduct of a business enterprise. Educational and other institutions doing research and development or related work involving grants of money from or contracts with the Government are deemed "business enterprises" and should be included herein.

16a. & 16b. In the event any of the required information, including holdings in trust, is not known to you but is known to another person, you should request that person to submit on your behalf the information called for under item 16a. Report such request in item 16b. The Nuclear Regulatory Commission, pursuant to Section 208(b) of the conflict of interest statute (Public Law 87-849), exempted certain financial interests from the application of Section 208(a) of that statute (see Appendix 4124, II (§ 0.735-21(c)), "Exemption of remote or inconsequential financial interests"). You need not list under item 16 those interests which, as of the date that statement is submitted, are exempted under Appendix 4124, II (§ 0.735-21(c)).

SUPPLEMENTARY STATEMENTS:

Each year you are required to submit a new statement. The form to be used will be provided to you by the NRC at the appropriate time. In addition, whenever you acquire a financial interest not listed on this form in an entity engaged in activities regulated by the NRC, you should promptly report your interest to the head of the NRC division or office that employs you.

PRIVACY ACT STATEMENT

Pursuant to 5 U.S.C. 552a (e) (3), enacted into law by section 3 of the Privacy Act of 1974 (Public Law 93-579), the following statement is furnished to individuals who supply information to the Nuclear Regulatory Commission on NRC Form 443. This information is maintained in a system of records designated as NRC-4 and described at 40 Federal Register 45334 (October 1, 1975).

1. AUTHORITY: 18 U.S.C. 201, 208, and Executive Order 11222 dated May 8, 1965.

2. PRINCIPAL PURPOSE(S): To allow the Nuclear Regulatory Commission, its counselor, or deputy counselors to determine whether employee's financial interests or non-Governmental employment might involve them in actual or potential conflicts of interest under applicable Federal laws, Office of Personnel Management or NRC Regulations, and/or Executive Orders.

3. ROUTINE USES: To provide the Department of Justice and the Office of Personnel Management with information concerning an employee in instances where this office has reason to believe a Federal law may have been violated or where this office desires the advice of the Department, or the Office of Personnel Management concerning potential violations of Federal law; and to serve as evidence in any court or Office of Personnel Management proceeding or in any NRC proceeding, adjudication or other determination.

4. WHETHER DISCLOSURE IS MANDATORY OR VOLUNTARY AND EFFECT ON INDIVIDUAL OF NOT PROVIDING INFORMATION: Disclosure of the requested information is mandatory for employees of the NRC as stated in 10 CFR 0.735-28. Failure to disclose the requested information or an omission in the execution of the statement may result in appropriate administrative action in accordance with NRC Management Directives System Chapter 4171.

5. SYSTEM MANAGER(S) AND ADDRESS: General Counsel, Office of the General Counsel
U.S. Nuclear Regulatory Commission
Washington, D.C. 20555

FOR NRC USE

Instructions to the operating official responsible for the appointment of this consultant, adviser, or expert:

1. Detach page no. 1-2 (Background Statement) of NRC Form 443. Retain one copy of page 1-2 and send the other copy to the personnel office with 3 copies of completed NRC Form 448.
2. Make the determination in item 18 on page no. 3 in accordance with provisions of Appendix 4124 and send page no. 3-4 to the designated counselor with copy of completed NRC Form 448.
3. Do not reproduce or retain a copy of page 3-4