

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

MD 3.55	FORMS MANAGEMENT PROGRAM	DT-25-03
<i>Volume 3, Part 2:</i>	Information Management, Records Management	
<i>Approved By:</i>	Scott Flanders, Chief Information Office Office of the Chief Information Officer	
<i>Date Approved:</i>	March 24, 2025	
<i>Cert. Date:</i>	N/A, for the latest version of any NRC directive or handbook, see the online MD Catalog	
<i>Issuing Office:</i>	Office of the Chief Information Officer Data, Information Management, and Enterprise Governance Division	
<i>Contact Name:</i>	Forms.Resource@nrc.gov	
EXECUTIVE SUMMARY		
<p>Management Directive (MD) 3.55, “Forms Management Program,” is revised to update guidance and make administrative changes. This revision—</p> <ul style="list-style-type: none"> • Updates links to the Forms Library and relevant forms. • Updates the organizational structure and roles and responsibilities for the Office of the Chief Information Officer and office directors and regional administrators. • Eliminates the Directive Handbook 3.55 and replaces it with a reference to the Forms Management Program web page (https://usnrc.sharepoint.com/teams/NRC-Forms-Library/SitePages/Forms-Management-Program.aspx). • Eliminates information regarding “Forms Processing and Printing, Procurement, and Supply and Stocking.” Forms in this category are no longer considered forms as they do not collect any data. • Includes a definition of Forms. 		

TABLE OF CONTENTS

I. POLICY	2
II. OBJECTIVES	2
III. ORGANIZATIONAL RESPONSIBILITIES AND DELEGATIONS OF AUTHORITY	3
A. General Counsel (GC).....	3
B. Chief Information Officer (CIO)	3

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](#)).

C. Office Directors and Regional Administrators.....	3
D. Director, Division of Facilities and Security, Office of Administration (ADM).....	3
E. NRC Clearance Officer, Office of the Chief Information Officer (OCIO).....	3
F. Forms Manager, Digitization, Processing, and Records Branch (DPRB); Data, Information Management, and Enterprise Governance Division (DIME); Office of the Chief Information Officer (OCIO)	4
G. Agency Records Officer (ARO), Digitization, Processing, and Records Branch (DPRB); Data, Information Management, and Enterprise Governance Division (DIME); Office of the Chief Information Officer (OCIO)	4
H. Form Owners, Agencywide	5
IV. APPLICABILITY	5
V. DIRECTIVE HANDBOOK	5
VI. FORM DEFINITION AND GOVERNANCE.....	5
VII. OTHER TYPES OF FORMS	5
VIII. REFERENCES.....	6

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); and 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."

II. OBJECTIVES

- Ensure that all new NRC forms are developed 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 Manager.
- Ensure that all agency forms have a form number.

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. Establishes agency policies and procedures for managing agency forms, including those that require Office of Management and Budget (OMB) review and Privacy Act assessment.
2. Appoints an NRC Forms Manager to coordinate forms activities for the agency.
3. Appoints a Privacy Officer who implements and administers the Privacy Act program for the NRC in accordance with regulations, policies, procedures, and guidance, and exercises the functions delegated by 10 CFR Part 9, Subpart B.
4. Delegates to the NRC Clearance Officer the responsibility for management of the Information Collections Program.

C. Office Directors and Regional Administrators

Ensure that form owners in their office or region—

1. Consult with the NRC Forms Manager when creating or modifying forms.
2. Provide the NRC Forms Manager with a link to any forms the office creates and is responsible for maintaining the form.
3. Inform the NRC Forms Manager if a form will be disseminated outside the agency to 10 or more non-Federal entities, even if they are contacted separately.
4. Inform the NRC Forms Manager if the form will collect Personally Identifiable Information.

D. Director, Division of Facilities and Security, Office of Administration (ADM)

1. Obtains all U.S. Government standard and optional paper forms that are required for NRC headquarters use and makes them available in the NRC Supply Room.
2. Prints forms to paper format as requested by the NRC Forms Manager, Office of the Chief Information Officer (OCIO).

E. NRC Clearance Officer, Office of the Chief Information Officer (OCIO)

1. Establishes, and ensures implementation of, agency policies and procedures for information collection activities.
2. Serves as the liaison between the OMB Desk Officer and responsible office staff regarding information collection submissions.

3. Approves or disapproves proposed information collections for submittal to OMB.
4. Submits agency information collection requests to OMB and certifies agency compliance with Paperwork Reduction Act (PRA) requirements.
5. Coordinates the agency's annual Information Collection Budget (ICB), including the reporting of any burden reduction initiatives and any agency violations of the PRA, and submits the ICB to OMB.

F. Forms Manager, Digitization, Processing, and Records Branch (DPRB); Data, Information Management, and Enterprise Governance Division (DIME); 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. Coordinates with the Section 508 Program Manager to ensure that all forms designed, created, or maintained by the NRC Forms Program conform with the Standards for Section 508 of the Rehabilitation Act, and supports accessibility considerations for all forms reviewed by the program.
4. 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.
5. Coordinates with the NRC Clearance Officer in OCIO/DIME on the creation of new, and the revision of existing, NRC forms to determine the need for OMB review and clearance.
6. Provides new and revised NRC forms to the Privacy Officer in OCIO for review to ensure that a PAS is included on those forms where information is collected from individuals, and that it will be maintained in a system of records in accordance with the Privacy Act.
7. Coordinates with regional forms points of contact on the creation of new and the revision of existing regional forms.
8. Assigns a form number for all agency forms.

G. Agency Records Officer (ARO), Digitization, Processing, and Records Branch (DPRB); Data, Information Management, and Enterprise Governance Division (DIME); Office of the Chief Information Officer (OCIO)

Works with form owners to confirm that each form has an applied retention schedule. If a form lacks a retention schedule, a new one must be created.

H. Form Owners, Agencywide

Work with the ARO to determine the necessary retention schedule for the data collected on the forms, ensuring compliance with the National Archives and Records Administration requirements, as needed.

IV. APPLICABILITY

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

V. DIRECTIVE HANDBOOK

Handbook 3.55 has been eliminated and replaced by the Forms Management Program web page (<https://usnrc.sharepoint.com/teams/NRC-Forms-Library/SitePages/Forms-Management-Program.aspx>), which has links to guidance for implementing the NRC forms management program.

VI. FORM DEFINITION AND GOVERNANCE

- A.** A form is defined as an instrument for information collection leveraging a structured, fillable interface. Forms are designed to collect specific, pre-defined information using clearly labeled fields. Forms may be built in physical (i.e., paper) form or in a digital format (i.e., digital documents and application interfaces that include a variety of formats: Adobe PDF, MS Word, MS Forms, PowerApps, etc.). Examples of types of forms (“instruments”) include, but are not limited to—
1. Report or recordkeeping forms,
 2. Application forms,
 3. Questionnaires, and
 4. Surveys.
- B.** The dataset generated from an agency form constitutes the creation of a record that must be governed by the agency's records management policies.
- C.** If you have questions about whether a document qualifies as a form, please reach out to the [Forms Resource](#).

VII. OTHER TYPES OF FORMS

A. Optional Form (OF)

A form developed and recommended for use by two or more Federal agencies. The 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.

B. 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 may be subject to the requirements of the Paperwork Reduction Act (44 U.S.C. 3501, et seq.) if they meet certain criteria. These criteria are discussed in MD 3.54, "NRC Information Collections Program."

C. Standard Form

A form prescribed by a Federal agency, pursuant to its authority, and approved by the General Services Administration (GSA) 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.

VIII. 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 Web Site, GSA Forms Library:

<https://www.gsa.gov/forms>.

Nuclear Regulatory Commission Documents and Websites

Forms Management Program web page:

<https://usnrc.sharepoint.com/teams/NRC-Forms-Library/SitePages/Forms-Management-Program.aspx>.

Management Directives—

3.2, "Privacy Act."

3.53, "NRC Records and Document Management Program."

3.54, "NRC Information Collections Program."

NRC Forms Library: <https://usnrc.sharepoint.com/teams/NRC-Forms-Library>.

OMB Memorandum M-23-07, "[Update to Transition to Electronic Records](#)," December 23, 2022.

United States Code

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

Government Paperwork Elimination Act (GPEA) of 1998 (Public Law 105-277, Title XVII, Sections 1701 et seq.).

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

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

Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d, as amended).