

# Request for OMB Review

PDR

DESIGNATED OFFICIAL

*Heefner*

## 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

Richard A. Dopp

Telephone number

(301) 492-4124

4. Title of information collection or rulemaking

NRC Form 136, Security Termination Statement

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

USC

Executive Order 12356

6. Affected public (check all that apply)

1 ☐ Individuals or households

3 ☐ Farms

5 ☐ Federal agencies or employees

2 ☐ State or local governments

4 ☒ Businesses or other for-profit

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

8602190005 860206  
PDR ORG EUSOMB  
PDR

Date

12 (OMB use only)

**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. "Security classified records, access authorization termination" The NRC Form 136 affects the employees of licensees and contractors who have been granted an NRC access authorization. When the access authorization is no longer needed, the execution of the form apprises the respondent of their continuing security responsibilities and is used to initiate termination of the access authorization.

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

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 136

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

17. Annual reporting or disclosure burden

1 Number of respondents

400

2 Number of responses per respondent

1

3 Total annual responses (line 1 times line 2)

400

4 Hours per response

.1

5 Total hours (line 3 times line 4)

40

18. Annual recordkeeping burden

1 Number of recordkeepers

N/A

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)

40

2 In current OMB inventory

40

3 Difference (line 1 less line 2)

0

Explanation of difference

4 Program change

5 Adjustment

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): \_\_\_\_\_

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

3150-0049

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

1 ☒ Voluntary

2 ☐ Required to obtain or retain a benefit

3 ☐ Mandatory

21. Requested expiration date

3/31/89

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 25

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

Date

Patricia G. Norry, Director  
Office of Administration

Patricia G. Norry

2/6/89

OMB SUPPORTING STATEMENT FOR  
NRC FORM 136  
SECURITY TERMINATION STATEMENT

Description of the Information Collection

The reporting requirements associated with the NRC Form 136, "Security Termination Statement," affects the employees of approximately 22 licensees and 35 contractors who have been granted an NRC access authorization (security clearance). When the NRC access authorization is no longer needed, the employee acknowledges and accepts his/her continuing security responsibilities as stated on the NRC Form 136 by signing the form. Only a minimum amount of other pertinent information (e.g., contract number, if applicable; date of termination), none of which is personal in nature, is requested by the form. The form is countersigned by a representative of the licensee or contractor who administered the completion of the form by the employee.

There is no recordkeeping requirement for the licensee or contractor since the completed NRC Form 136 is to be forwarded to NRC Headquarters, Division of Security, for retention in the individual's Personnel Security File (PSF). The established retention period of the PSF is: destruction upon notification of death or 5 years after termination of the last access authorization held. Although maintained in the PSF, the completed NRC Form 136 would not fall under the exemptions of the Privacy Act of 1974 and, upon request, would be made available for public inspection in accordance with 10 CFR Part 9.

The use of this form affords some assurance that classified information and knowledge gained by the respondent will be properly protected and, therefore, benefits the NRC security program and public at large.

A. JUSTIFICATION

1. Need for Collection of Information.

Section 5.3 of Executive Order 12356 requires agencies to "...establish procedures to prevent unnecessary access to classified information, including procedures that...(ii) ensure that the number of persons granted access to classified information is limited to the minimum consistent with operational and security requirements and needs;..." NRC's response to this requirement is termination of the access authorization when the circumstances cited in Section 25.33 of 10 CFR Part 25 (applicable to licensees) or in NRC Management Directive 2101, Part VI, P. (applicable to contractors) exist. The NRC Form 136, "Security Termination Statement," is an integral part of these termination of access authorization procedures.

2. Agency Use of Information.

As stated in NRC Management Directive 2101, Part V, C.3., the completed NRC Form 136 is to be forwarded by the licensee/contractor to NRC Headquarters Division of Security (SEC) who uses the information in connection with the termination of the respondent's access authorization. In addition to providing assurance of NRC compliance with E.O. 12356, the NRC Form 136 is the vehicle used by SEC to apprise the individual of his/her continuing responsibilities for protecting classified information that he/she had access to in the course of performing official duties. The individual's signature on this form indicates their acknowledgment/acceptance of these continuing responsibilities. Failure to use the NRC Form 136 by the licensee/contractor may result in: (1) failure to terminate the NRC

access authorization when circumstances dictate and, therefore continued access to classified information; and (2) the individual not being apprised of, or officially acknowledging (by signature) his/her continuing responsibilities for protecting classified information.

3. Reduction of Burden Through Information Technology.

No reduction in the information collection burden can be realized through information technology with respect to the NRC Form 136. The information contained/obtained on the form must be personally reviewed/provided by the individual affected.

4. Effort to Identify Duplication.

Section 25.33 of 10 CFR Part 25 requires that a representative of the licensee notify SEC in writing regarding the circumstances which necessitate termination of an individual's NRC access authorization. Other than the fact that a particular access authorization is to be terminated, there is no duplication in the information collected by the NRC Form 136. This information collection does not preclude the need for other information provided by the NRC Form 136. No similar duplication exists in NRC Management Directive 2101, Part VI, applicable to contractors.

5. Effort to Use Similar Information.

Since the information collected by the NRC Form 136 is specifically and solely related to the termination of an individual's NRC access authorization, there is no similar information collection made by any other government agency which could be utilized. Other than as

identified in item 4 above, there is no similar information collection made by NRC.

6. Effort to Reduce Small Business Burden.

None of the licensees affected by the use of the NRC Form 136 qualify as small business enterprises or entities. The burden associated with this form is so minimal that there would be no significant burden on a contractor, if they qualified as a small business enterprise or entity.

7. Consequences of Less Frequent Collection.

The frequency of information collection is limited to circumstances when the respondent's NRC access authorization is to be terminated. In most cases, a less frequent collection would mean eliminating the collection, as the access authorization of contractor/licensee employees are not frequently granted/terminated on a reoccurring basis. If the information is not collected, the assurance that only appropriately cleared individuals have access to classified information is reduced; and it is likely that individuals will be unaware of their continuing responsibility to protect classified information. Thus, less frequent collection may endanger the U. S. common defense and national security.

8. Circumstances Which Justify Variation from OMB Guidelines.

There is no variation from OMB Guidelines in the collection of information.



9. Consultations Outside the Agency.

No consultations.

10. Confidentiality of Information.

The information collected is used to terminate a respondent's NRC access authorization. The completed NRC Form 136 contains no information of a confidential or personal nature and would not fall under the exemptions of the Privacy Act of 1974. Upon specific request, the form would be made available for public inspection in accordance with 10 CFR Part 9.

11. Justification for Sensitive Questions.

There is no sensitive information requested on the NRC Form 136.

12. Estimated Annualized Cost to the Federal Government.

The estimated annual cost to the Federal Government associated with the NRC Form 136 is \$665.45. This cost was computed as follows:

NOTE: Annual form usage 400 (10% of the approximately 4,000 access authorizations held by licensees/contractors)

Costs:

Annual clerical effort = \$533.40

(400 X 4.00 minutes = 26.67 hrs. X \$20/hr.)

Annual professional effort = 79.80

(400 X .2 minutes = 1.33 hrs. X \$60/hr.)

Annual record holding = 52.25

( $\frac{1}{2}$  cu. ft. X \$209/cu. ft.)

Total estimated annual cost = \$665.45

In the current OMB clearance, the processing cost associated with the internal agency use of the form was inadvertently included, causing an inaccurately high cost to the Federal government. The above estimate is accurate.

13. Estimate of Burden.

An estimated six minutes is required to complete each NRC Form 136, resulting in a total annual burden on the public of 40 hours. The estimated annual financial burden shared among the 57 licensees/contractors is \$2,400.00. This was computed as follows:

400 annual respondents (10% of the approximately 4,000 access authorizations held by licensees/contractors) X 6.0 minutes completion time each = 40.00 hours burden X \$60.00 per hour = \$2,400.00.

NOTE: There is no recordkeeping requirement/burden upon the contractors/licensees in that the completed NRC Form 136 is to be forwarded to NRC/HQS, Division of Security.

14. Reasons for Change in Burden.

There has been no change in the burden on the public associated with the completion of NRC Form 136.

15. Publication for Statistical Use.

There is no application of statistics on the information collection related to the NRC Form 136. There also is no publication of the information.



U. S. NUCLEAR REGULATORY COMMISSION  
WASHINGTON, D. C.

## SECURITY TERMINATION STATEMENT

NAME: (Print full name)	PRESENT EMPLOYER:
CONTRACT NUMBER OR OTHER IDENTIFYING NUMBER:	FACILITY OR INSTALLATION WHERE TERMINATED:
DATE OF TERMINATION:	

I make the following statement in connection with the forthcoming termination of my access authorization granted by the Nuclear Regulatory Commission:

1. I have destroyed in accordance with NRC security regulations or transferred to persons designated by the Nuclear Regulatory Commission all classified documents and material with which I was charged or which I had in my possession.
2. I shall not reveal to any person any National Security Information, Restricted Data, or other classified information of which I have gained knowledge except as authorized by law, regulations of the Nuclear Regulatory Commission, or in writing by officials of the Nuclear Regulatory Commission empowered to grant permission for such disclosure.
3. I am aware that the Atomic Energy Act of 1954 and U.S. Code, Title 18, "Crimes and Criminal Procedures," prescribe penalties for unauthorized disclosure of Restricted Data, Formerly Restricted Data, and other information relating to the national defense.
4. I am aware that I may be subject to criminal penalties if I have made any statement of material facts knowing that such statement is false or if I willfully conceal any material fact (Title 18, U.S. Code, Section 1001).
5. I understand that the Nuclear Regulatory Commission desires to be informed when persons who have been granted NRC access authorization propose to travel to Communist-controlled countries. This does not apply to individuals who obtain NRC access authorization and receive access to NRC classified information solely as employees of other Government agencies or their contractors.

\_\_\_\_\_  
(Signature of Person Conducting Interview)

\_\_\_\_\_  
(Signature of Person Whose Access Authorization  
Is Being Terminated)

\_\_\_\_\_  
(Title of Position)

\_\_\_\_\_  
(Date)