

PDR

Request for OMB Review

UNRECORDED ORIGINAL

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 Siegfried Guenther	Telephone number (301) 504-1056
4. Title of information collection or rulemaking 10 CFR Part 55, "Operators' Licenses"	
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 <input type="checkbox"/> Individuals or households	3 <input type="checkbox"/> Farms	5 <input type="checkbox"/> Federal agencies or employees
2 <input type="checkbox"/> State or local governments	4 <input checked="" type="checkbox"/> Businesses or other for-profit	6 <input type="checkbox"/> Non-profit institutions
		7 <input type="checkbox"/> 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	Stage of development	Type of review requested
1 <input type="checkbox"/> Major	1 <input type="checkbox"/> Proposed or draft	1 <input type="checkbox"/> Standard
2 <input type="checkbox"/> Nonmajor	2 <input type="checkbox"/> Final or interim final, with prior proposal	2 <input type="checkbox"/> Pending
	3 <input type="checkbox"/> Final or interim final, without prior proposal	3 <input type="checkbox"/> Emergency
		4 <input type="checkbox"/> 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? Yes No
If "No," did OMB waive the analysis? Yes 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) 9401100220 931227
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Complete This Part Only if the Request is for Approval of a Collection of Information Under the Paperwork Reduction Act and 5 CFR 1320.

1. Identify the collection needs, uses and affected public in 50 words or less. "Nuclear Reactors, Operator Licenses"
 10 CFR Part 55 of the NRC's regulations, "Operators' Licenses" specifies information and data to be provided by applicants and facility licensees so that the NRC may make determinations concerning the licensing of operators for nuclear power plants necessary to promote the health and safety of the public.

2. 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 First round 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) _____

3. Type of review requested (check only one)
 1 New collection
 2 Extension 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

4. Agency report form number(s) (include standard, optional form number(s))

N/A

5. Annual reporting or disclosure burden

1 Number of respondents	115
2 Average hours per respondent	1
3 Total annual responses (line 1 times line 2)	115
4 Burden per response	8.20
5 Total burden (line 3 times line 4)	943.75

6. Annual recordkeeping burden

1 Number of recordkeepers	72
2 Annual hours per recordkeeper	36
3 Total recordkeeping hours (line 1 times line 2)	2,592
4 Recordkeeping retention period	Varies 4 yrs to duration of license
5 Total annual burden	
1 Requested (line 3 plus line 18.3)	3,535.75
2 In current OMB inventory	2,665
3 Difference (line 1 less line 2)	870.75
4 Program change	
5 Adjustment	870.75

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

- Application for benefits
- Program evaluation
- General purpose statistics
- Regulatory or compliance
- Program planning or management
- Research
- Audit

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

1 Recordkeeping

Reporting

- On occasion
- Weekly
- Monthly
- Quarterly
- Semiannually
- Annually
- Biannually
- Other (describe) _____

20. Current OMB report OMB control number or comment number
 3150-0018

21. Request expiration date
 3 years from date of approval

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

- Voluntary
- Required to obtain or retain a benefit
- 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 55 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
 Gerald F. Cranford, DSO for Information Resources Management
 Date 12/27/93

SUPPORTING STATEMENT
FOR
10 CFR PART 55, OPERATORS' LICENSES

(OMB CLEARANCE NO. 3150-0018)

*Extension Request
with Revised Burden Estimate*

DESCRIPTION OF INFORMATION COLLECTION

(1) All holders of operating licenses and applicants for operating licenses (i.e., nuclear power, research, and test reactors) shall submit:

- §50.74: Notification to the Commission within 30 days of a licensed operator's permanent reassignment from the position requiring a license, termination of employment, or disability or illness as described in §55.25 (currently approved under OMB Clearance No. 3150-0011).
- §55.23, 55.31(a)(6), and 55.57(a)(6): NRC Form 396, "Certification of Medical Examination by Facility Licensee" (currently approved under OMB Clearance No. 3150-0024).
- §55.25: Notification to the Commission within 30 days of learning of the diagnosis of a licensed operator's physical or mental disability. Submittal of NRC Form 396 is required if a license restriction is requested (currently approved under OMB Clearance No. 3150-0024).
- §55.27: Report medical qualifications data to Commission upon request (currently approved under OMB Clearance No. 3150-0024).
- §55.31(a)(3) and (4): Written request that a written examination and operating test be administered and certification on NRC Form 398, "Personal Qualification Statement - Licensee," that the applicant has completed the facility licensee's requirements for licensing (currently approved under OMB Clearance No. 3150-0090).
- §55.35(a): Certification on NRC Form 398 that the applicant is ready for reexamination and a statement that describes the extent of the applicant's retraining (currently approved under OMB Clearance No. 3150-0090).

- §55.41(a), 55.43(a),
and 55.45(a): Information regarding examination content for operators to whom 10 CFR 55 applies (currently approved under OMB Clearance No. 3150-0101).
- §55.53(f): Certification that the qualifications and training of a licensee who has not been actively performing the functions of an operator are current.
- §55.57(a)(4) and (5): Certification on NRC Form 398 that the renewal applicant has competently and safely discharged the license responsibilities and satisfactorily completed the requalification program during the effective term of the current license (currently approved under OMB Clearance No. 3150-0090).
- §55.59(c): Comprehensive requalification written examinations or annual operating tests upon request (currently approved under OMB Clearance No. 3150-0101).
- §55.59(c)(6): Application for alternative requalification training program (currently approved under OMB Clearance No. 3150-0101).
- and keep on file:
- §55.27: Retain medical qualifications data (currently approved under OMB Clearance No. 3150-0024).
- §55.59(c)(5)(i): Maintain records of operator participation in the requalification program until license is renewed.
- (2) All holders of operating licenses and applicants for operating licenses (i.e., nuclear power plants) that intend to conform with the requirements of 10 CFR 55.45(b) through the use of other than a plant-referenced simulator shall submit:
- §55.45(b)(4)(i)
and (vi): An application for NRC approval of a simulation facility proposed for use in the partial conduct of operating tests identified in §55.45(a). Reapplications must include a description of corrective actions and performance test results.
- §55.45(b)(4)(iii): Every four years, a report which identifies any uncorrected performance test failures, and a schedule for correction of such failures.

§55.45(b)(4)(vii): With reports submitted pursuant to (b)(4), a description of performance testing completed for the simulation facility, a description of the performance tests, if different, to be conducted on the simulation facility during the subsequent four-year period, and a schedule for the conduct of approximately 25 percent of the performance tests per year for the subsequent four years.

and keep on file:

§55.45(b)(4)(iv): The results of the performance tests conducted until four years after submittal of the application, each four-year report, or any reapplication.

- (3) All holders of operating licenses and applicants for operating licenses (e.g., nuclear power plants) that intend to conform with the requirements of 10 CFR 55.45(b) through the use of a certified plant-referenced simulator shall submit:

§55.45(b)(5)(i) and (v): NRC Form 474, "Simulation Facility Certification," if the facility licensee intends to use a simulation facility which consists solely of a plant-referenced simulator. Recertifications must include a description of corrective actions and performance test results (currently approved under OMB Clearance No. 3150-0138).

§55.45(b)(5)(ii): Every four years, a report which identifies any uncorrected performance test failures, and a schedule for correction of such failures.

§55.45(b)(5)(vi): With reports submitted pursuant to (b)(5), a description of performance testing completed for the simulation facility, a description of the performance tests, if different, to be conducted on the simulation facility during the subsequent four-year period, and a schedule for the conduct of approximately 25 percent of the performance tests per year for the subsequent four years.

and keep on file:

§55.45(b)(5)(iii): The results of performance tests conducted until four years after the submittal of the certification, each four-year report, or any recertification.

(4) All holders of or applicants for an operator's license (e.g., reactor operators) will:

- §55.31(a) and (d): Submit NRC Form 398, "Personal Qualification Statement--Licensee," to apply for or renew a license (currently approved under OMB Clearance No. 3150-0090).
- §55.31(b): Submit additional information as necessary for the NRC to determine whether to grant or deny the license application or revoke, modify or suspend the license.
- §55.35: Submit reapplication on NRC Form 398 (currently approved under OMB Clearance No. 3150-0090).
- §55.47: Submit request for waiver of examination and test requirements on NRC Form 398 (currently approved under OMB Clearance No. 3150-0090).
- §55.53(g): Submit notification of conviction of a felony within 30 days.
- §55.57(a): Submit application for renewal of license on NRC Form 398 (currently approved under OMB Clearance No. 3150-0090).
- §55.59(b): Submit evidence of successful completion of additional training, if necessary (currently approved under OMB Clearance No. 3150-0101).

A. JUSTIFICATION

1. Need for the Collections of Information

The regulations in 10 CFR 55 establish procedures and criteria for the issuance of licenses to operators and senior operators of utilization facilities licensed pursuant to the Atomic Energy Act of 1954, as amended, and Part 50 of this chapter, provide for the terms and conditions upon which the Commission will issue or modify these licenses, and provide for the terms and conditions to maintain and renew these licenses.

The information collection requirements apply to all holders of operating licenses and applicants for operating licenses (e.g., nuclear power plants). Several of the information collections apply to holders of or applicants for an operator's license (e.g., reactor operators) as defined in 10 CFR 50 and 10 CFR 55.

The information collections related to 10 CFR 55 are necessary to permit timely examination of operators and senior operators as well as timely issuance and renewal of operators' licenses.

This supporting statement is designed to provide a comprehensive overview of the information collection requirements specified in 10 CFR 55. Note that supporting statements for separate OMB approvals were submitted for NRC Forms 396, 398, and 474 and the related provisions of Part 55. The burden hours associated with NRC Forms 396 (OMB Clearance No. 3150-0024), 398 (OMB Clearance No. 3150-0090), and 474 (OMB Clearance No. 3150-0138) and the related provisions of reactor operator licensing and requalification programs (OMB Clearance No. 3150-0101) are contained in those statements. However, all of these provisions are identified in this Supporting Statement, including Table 13(a), for the sake of completeness.

In addition to the rules, three Regulatory Guides have been issued to provide guidance on acceptable methods of implementing the regulations. These Regulatory Guides are:

1. Regulatory Guide 1.134 - Medical Evaluation of Licensed Personnel for Nuclear Power Plants (Revision 2)
2. Regulatory Guide 1.149 - Nuclear Power Plant Simulation Facilities for Use in Operator License Examinations (Revision 1)
3. Regulatory Guide 1.8 - Qualification and Training of Personnel for Nuclear Power Plants (Revision 2)

2. Agency Use of Information

The NRC will use all of the reports and recordkeeping required by 10 CFR 55 for one or more of the following purposes:

- development of NRC-administered written examinations and operating tests;
- review and approval of operators' license applications;
- review and evaluation of facility requalification programs;
- review of plans and performance testing for development and use of simulation facilities; and
- review and approval of applications for use of simulation facilities for the partial conduct of operating tests.

To the extent possible, the licensees and applicants will be required to maintain documentation rather than submit reports to the NRC.

3. Reduction of Burden Through Information Technology

There are no legal obstacles to reducing the burden through the use of information technology. Moreover, NRC encourages its use.

4. Effort to Identify Duplication

The Information Requirements Control Automated System (IRCAS) was searched for duplication. None was found.

5. Effort to Use Similar Information

Similar information is not available.

6. Burden on Small Business

The information collection required does not affect any small businesses.

7. Consequences of Less Frequent Collection

The information collection is either a "one time only" requirement or an "as required" requirement, except for the four-year reporting requirement for performance testing of simulation facilities. No other frequency of collection is assigned. If the simulation facility performance testing data were collected less frequently the Commission would not be able to determine that a simulation facility otherwise meets the requirements of Part 55.

8. Variations from OMB Guidelines

The record retention periods vary from the three-year period specified in OMB guidelines. It is necessary to retain these records for longer periods of time to insure operational safety at nuclear reactor facilities.

9. Consultations Outside the NRC

In connection with the proposed rulemaking concerning requalification exams, the Commission published a notice in the Federal Register (58 FR 29366, May 20, 1993) which solicited public comments.

10. Confidentiality of Information

The NRC provides no pledge of confidentiality for this collection of information other than those records which are covered under NRC 16, System of Records.

11. Sensitive Questions

No sensitive information is requested for this information collection.

12. Estimate of the Cost to the Federal Government

The total annual cost to the Federal Government is estimated to be \$88,935 as shown in Table 12(a). This cost is fully recovered by fee assessments to NRC licensees pursuant to 10 CFR Part 171.

13. Estimate of Industry Burden and Costs

(a) The recordkeeping and reporting burdens are described below

The estimated number of hours per response/recordkeeper for four items shown in Table 13(a) are given as a range. The computation of burden for these items is based upon the maximum value in the range. Since many facility licensees presently collect and maintain simulation facility data that would be needed for the reports and applications, it is expected that the actual burden will be substantially less than that shown. See Table 13(a), page 12, for details pertaining to the recordkeeping burden.

(b) Source of Burden Data and Method for Estimating Burden

Burden estimates are based upon discussion with several nuclear unit employees, NRC contractors, and NRC personnel familiar with these reporting requirements.

14. Reasons for Change in Burden

The industry burden for this information collection request has been increased from the previous estimate of 2665 person-hours to 3453 person-hours for the following reasons:

- (1) The requirement (55.31(b)) for applicants or licensees to submit additional information in order to enable the NRC to determine whether to grant or deny the application or whether to revoke, modify, or suspend the license was inadvertently omitted from previous supporting statements. It is expected that applicants and licensees will submit approximately 50 responses per year (a 100 hour increase);
- (2) The number of recordkeepers (facility licensees) required to maintain simulation facility performance testing records has been corrected from 116 to 72 and the range has been changed to reflect multiple records for some recordkeepers (a 128 hour decrease);

- (3) The number of four-year simulation facility performance testing reports increases from 7 to approximately 20 per year during the clearance period (a 520 hour increase);
- (4) No applications for simulation facility approval are expected during this clearance period (a 40 hour decrease);
- (5) The requirement (55.53(f)) for facility licensees to certify the qualifications and training of operators who had not been actively performing operator functions before allowing them to resume those functions was overlooked in previous OMB clearances. It is expected that facility licensees will submit approximately 40 certifications per year (a 40 hour increase); and
- (6) The estimated number of licensed operator training records that the 72 facility licensees will have to maintain pursuant to §55.59(c)(5)(i) has been increased from 2911 to 5000. This more accurately reflects the number of active operator licenses and the worst-case record-keeping burden (an increase of 379 hours) by eliminating the deductions that were previously taken for those operators entering or exiting the system during any particular year.

11. Publication for Statistical Use

The NRC does not presently publish this information for statistical use.

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

Statistical methods are not used in this information collection.

TABLE 12(a) ESTIMATE OF ANNUAL COST TO THE FEDERAL GOVERNMENT

<u>REPORT</u>	<u>SUBSECTION</u>	<u>HOURS/RESPONSE</u>	<u>NUMBER OF RESPONSES</u>	<u>BURDEN HOURS</u>	<u>TOTAL</u>
Review Additional Information	55.31(b)	15 minutes	50	12.5	\$ 1,650
Review Plans for Simulation Facility Development	55.45(b)(2)(i)	0	0	0	\$ 0
Review Applications	55.45(b)(4)(i)(vi)	40 - 80 hours	0	0	\$ 0
Review/Audit Simulation Facilities	55.45(b)(4)(v) and 55.45(b)(5)(iv)	40-160 hours	4	640	\$84,480
Review Training and Qualification Certifications for License Reactivation	55.53(f)	30 minutes	40	20	\$ 2,640
Review Notification of Felony	55.53(g)	15 minutes	5	1.25	\$ 165
TOTAL Government Burden			99	673.75	\$88,935

TABLE 13(a) ESTIMATE OF ANNUAL BURDEN REQUIRED OF INDUSTRY

<u>REPORT</u>	<u>SUBSECTION</u>	<u>HOURS/RESPONSE</u>	<u>NUMBER OF RESPONSES</u>	<u>BURDEN HOURS</u>	<u>TOTAL</u>
Certification of Medical Examination	55.23(a)(b)	Currently approved under OMB No. 3150-0024			
Notification of Disability	55.25	Currently approved under OMB No. 3150-0024			
Report on Medical Data at Request of Commission	55.27	Currently approved under OMB No. 3150-0024			
Application NRC Form 398	55.31(a)(d)	Currently approved under OMB No. 3150-0090			
Submit Additional Information Upon Request	55.31(b)	1 - 2 hours	50	100	\$13,200
Medical Report NRC Form 396	55.31(a)(6)	Currently approved under OMB No. 3150-0024			
Reapplication Procedures NRC Form 398	55.35	Currently approved under OMB No. 3150-0090			
Exam Content Information	55.41(a) 55.43(a), and 55.45(a)	Currently approved under OMB No. 3150-0101			
Application of Simulation Facility Approval	55.45(b)(4)(i) and (vi)	40 - 120 hours	0	0	\$0
Simulation Facility Certification NRC Form 474	55.45(b)(5)(i) and (v)	Currently approved under OMB No. 3150-0138			

<u>REPORT</u>	<u>SUBSECTION</u>	<u>HOURS/RESPONSE</u>	<u>NUMBER OF RESPONSES</u>	<u>BURDEN HOURS</u>	<u>TOTAL</u>
Four-year Performance Testing Report for Simulation Facilities	55.45(b)(4)(iii) and 55.45(b)(4)(vii); 55.45(b)(5)(ii) and 55.45(b)(5)(vi)	8 - 40 hours	20	800	\$105,600
Request for Waivers of Examination and Test	55.47	Currently approved under OMB No. 3150-0090			
Certify Licensee Qualifications and Training for Reactivation	55.53(f)	1	40	40	\$ 5,280
Notification of Felony	55.53(g)	45 minutes	5	3.75	\$ 495
Renewal Application	55.57(a)	Currently approved under OMB No. 3150-0090			
Evidence of Retraining	55.59(b)	Currently approved under OMB No. 3150-0101			
Requalification Examinations and Tests	55.59(c)	Currently approved under OMB No. 3150-0101			
Application for Alternative	55.59(c)(6)	Currently approved under OMB No. 3150-0101			
Report Subtotal			115	943.75	\$124,575

<u>RECORDS</u>	<u>SUBSECTION</u>	<u>HOURS/RECORDKEEPER</u>	<u>NUMBER OF RECORDKEEPERS</u>	<u>BURDEN HOURS</u>	<u>TOTAL</u>
Maintain Medical Qualifications Data	55.27	Currently approved under OMB No. 3150-0024			
Maintain Data Collected for Report of Performance Testing	55.45(b)(4)(iv) and 55.45(b)(5)(iii)	6 - 24 hours	72	1,728	\$228,096
Maintain Records	55.59(c)(5)(i)	10 - 12 hours	72	864	\$114,048
		Recordkeeping Subtotal	72	2,592	\$342,144
Total Industry Burden				3,535.75	\$466,719

U.S. NUCLEAR REGULATORY COMMISSION

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

AGENCY: U.S. Nuclear Regulatory Commission (NRC)

ACTION: Notice of the OMB review of information collection.

SUMMARY: The NRC has recently submitted to the OMB for review the following proposal for the collection of information under the provisions of the Paperwork Reduction Act of 1980 (44 U.S.C. Chapter 35).

1. Type of submission, new, revision, or extension: Revision.
2. The title of the information collection: "10 CFR Part 55: Operators' Licenses."
3. The form number if applicable: Not applicable.
4. How often the collection is required: As necessary in order for NRC to meet its responsibilities to determine the eligibility of applicants for operators' licenses and perform a review of applications and reports for simulation facilities submitted to the NRC.

5. Who will be required or asked to report: Holders of and applicants for facility (i.e., nuclear power, research, and test reactor) operating licenses and individual operators' licenses.
6. An estimate of the number of annual responses: 115.
7. An estimate of the total number of hours needed annually to complete the requirement or request: 3,536 (approximately 944 hours of reporting burden and approximately 2,592 hours of recordkeeping burden).
8. An indication of whether Section 3504(h), Pub. L 96-511 applies: Not applicable.
9. Abstract: 10 CFR Part 55 of the NRC's regulations, "Operators' Licenses" specifies information and data to be provided by applicants and facility licensees so that the NRC may make determinations concerning the licensing of operators for nuclear power plants necessary to promote the health and safety of the public. The reporting and recordkeeping requirements contained in 10 CFR Part 55 are mandatory for the licensees and applicants affected.

Copies of the submittal may be inspected or obtained for a fee from the NRC Public Document Room, 2120 L Street, NW. (Lower Level), Washington, DC 20555. Comments and questions should be directed to the OMB reviewer:

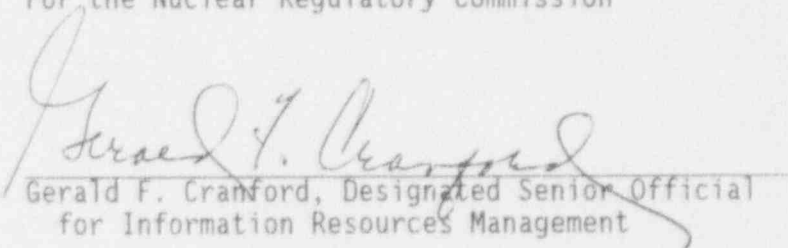
Troy Hillier
Office of Information and Regulatory Affairs (3150-0018)
NEOB-3019
Office of Management and Budget
Washington, DC 20503

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 *3rd* day of *January* 1994.

For the Nuclear Regulatory Commission


Gerald F. Cranford, Designated Senior Official
for Information Resources Management